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**United Nations Development Programme  
Project Document for Adaptation Planning / NAP (National Adaptation Plan) projects  
financed by the Green Climate Fund (GCF)**

<b>Project title:</b> Sector driven National Adaptation Plan (NAP) to advance medium- and long-term adaptation planning in Uzbekistan	
<b>Country:</b> Uzbekistan	
<b>Implementing Partner:</b> UNDP	<b>Management Arrangements:</b> Direct Implementation Modality (DIM)
<b>UNDAF/Country Programme Outcome:</b> By 2020, rural population benefit from sustainable management of natural resources and resilience to disasters and climate change	
<b>UNDP Strategic Plan Output:</b> 2.3.1 Data and risk-informed development policies, plans, systems and financing incorporate integrated solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent crisis	
<b>UNDP Social and Environmental Screening Category:</b> EXEMPT	<b>UNDP Gender Marker for the project output:</b> 2
<b>Atlas Project ID (formerly Award ID):</b> 00104259	<b>Atlas Output ID (formerly Project ID):</b> 00105927
<b>UNDP-GEF PIMS ID number:</b> 5977	<b>GCF ID number:</b> NA
<b>Planned start date:</b> 1 February 2020	<b>Planned end date:</b> 31 July 2022
<b>PAC meeting date:</b> 3 December 2019	
<b>Brief project description:</b>	

The proposed project will enable the Republic of Uzbekistan to integrate climate change adaptation requirements into developmental planning and processes.

Although extensive environmental legislation exists in Uzbekistan, it only marginally covers protection of the climate system and mainly focuses on clean air. Despite recent assessments and risk analyses that have been undertaken in identifying vulnerable regions and economic sectors to the effects of climate change, no framework exists to date on climate change adaptation, nor climate change at large. Uzbekistan's NDC, submitted in 2017, outlines the country's planning process to strengthen adaptation and mitigation actions. This falls short of spelling out a detailed National Adaptation Plan, but includes identification of political measures, implementation of climate actions, development of scientific research and education as priorities.

The poorest population of Uzbekistan lives in the most arid parts of the country, is dependent on subsistence agriculture, and is facing increased vulnerability to changes in climate conditions and natural resources availability. Given this, the government has recognized the urgent need for climate change adaptation measures.

The proposed project, as part of Uzbekistan's response to address the above challenges, has as its objective to advance the adaptation planning process for priority climate-sensitive sectors and regions in Uzbekistan. It will accomplish this via achieving the following three outcomes:

*Outcome 1: The coordination mechanism for multi-sectoral adaptation planning and implementation at different levels is strengthened*

This outcome seeks to identify barriers to integration of climate change adaptation into development planning and budgeting, and subsequently build capacity of key stakeholders to effectively plan for and monitor adaptation in Uzbekistan.

*Outcome 2: The evidence base for adaptation planning is strengthened and adaptation is prioritized into national and sectoral planning and budgeting*

This outcome seeks to consolidate existing climate information, and put in place a system for science-backed, economic analysis of adaptation options, to enable informed decision making in climate change adaptation in the country.

*Outcome 3: An adaptation financing and investment strategy for Uzbekistan is developed*

This outcome seeks to identify options to sustainably finance the NAP process in Uzbekistan, and engage the private sector in supporting adaptation.

The main beneficiaries of GCF financing support will be the Center of Hydrometeorological Services (Uzhydromet) under the Cabinet of Ministers of the Republic of Uzbekistan as well as stakeholders from 5 key sectors (agriculture, water, health, housing and emergency management) and provincial governments in the three target provinces of this project (Karakalpakstan, Bukhara and Khorezm).

By aligning itself with the government's National Strategy on Sustainable Development (NSSD), focusing on strengthening existing systems and mechanisms such as the State Development Programme and cooperating with the National Project Management Agency, this project aims to be both incremental and sustainable. With the inclusion of stakeholder representatives from vulnerable populations, including women and indigenous people, it is designed to be inclusive and participatory.

Gender inclusiveness is at the center of the NAP process. The proposal highlights the need for gender mainstreaming in climate change adaptation planning and budgeting and recognizes that adaptation cannot be

successful without the involvement of all Uzbeks, particularly women. During the implementation process, gender concerns will be brought to the forefront through all three of the project outcomes.

**FINANCING PLAN**

GCF grant	USD 1,611,944
UNDP TRAC resources	USD -
Cash co-financing to be administered by UNDP	USD -
<b>(1) Total Budget administered by UNDP</b>	<b>USD 1,611,944</b>

**PARALLEL CO-FINANCING** *(all other co-financing (cash and in-kind) administered by other entities, non-cash co-financing administered by UNDP)*

UNDP	USD -
Government	USD -
<b>(2) Total co-financing</b>	<b>USD -</b>
<b>(3) Grand-Total Project Financing (1)+(2)</b>	<b>USD -</b>

**SIGNATURES**

<b>Signature:</b>  Ms. Matilda Dimovska  UNDP Resident Representative in Uzbekistan	<b>Agreed by UNDP as the Delivery Partner</b>	<b>Date/Month/Year:</b>
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## I. TABLE OF CONTENTS

I.	Table of Contents.....	4
II.	Development Challenge.....	5
III.	Strategy.....	10
IV.	Results and Partnerships.....	12
V.	Project Management.....	20
VI.	Project Results Framework.....	22
VII.	Monitoring and Evaluation (M&E) Plan.....	27
VIII.	Governance and Management Arrangements.....	30
IX.	Financial Planning and Management.....	35
X.	Total Budget and Work Plan.....	37
XI.	Legal Context.....	41
XII.	Risk Management.....	41
XIII.	Mandatory Annexes.....	42
XIV.	Other Annexes.....	43
	Annex A: GCF Approved Readiness and Preparatory Support Proposal for Adaptation Planning.....	44
	Annex B: GCF Approval Letter.....	45
	Annex C: Timetable of Project Implementation (GANNT chart).....	46
	Annex D: Procurement Plan.....	47
	Annex E: Terms of References for Project Board and Project Team/PMU.....	49
	Annex F: UNDP Risk Log.....	54
	Annex G: UNDP Project Quality Assurance Report.....	56
	Annex H: Section 2 of the Readiness Support Interim Progress Report Template.....	62
	Annex I: Composition and Roles of Members of the Inter-Agency Working Group.....	63
	Annex J: Additional information for second phase of adaptation planning project for Uzbekistan.....	67
	Annex K: Results from rapid capacity assessment for NAP undertaken in October 2016.....	68

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## II. DEVELOPMENT CHALLENGE

Uzbekistan, the most populous country in Central Asia, has about 31.6 million people (mid-2016), of which approximately half live in urban areas.<sup>1</sup> The country was ranked 114 out of 188 in the UNDPs 2015 Human Development Index. Poverty is relatively limited, with 12.3% (2016) of the population living below the national poverty line.<sup>2</sup> Since independence in 1991, a sharp increase in the inequality of income distribution has hurt the lower ranks of society.

19.2% (2017) of the country's GDP comes from agriculture and 11% of the land is intensely cultivated in irrigated river valleys. Uzbekistan is the world's fifth largest cotton exporter and sixth largest producer despite ongoing efforts to diversify from cotton and a 35% drop in production since 1991. Industry, mainly hydrocarbons, is the other main source of GDP growth (32.2%).<sup>3</sup>

Uzbekistan has a large and diverse territory covering 447,400 sq. km with an arid, continental climate characterized by cold winters, hot summers and limited precipitation. Since 1938, all regions of Uzbekistan have experienced an increase in mean minimum and maximum temperatures for all seasons of the year. The general trend indicates that temperatures across Uzbekistan have increased on average by approximately 1.5°C and annual precipitation has declined by approximately 10 mm across this time period.

Warming trends observed in Uzbekistan since 1951 have occurred at more than twice the global average for this time period<sup>4</sup> and significant climate risks are already evident. Reductions in water resources and changing precipitation patterns are predicted to further exacerbate prolonged droughts and extreme weather events. Water shortages, along with water and soil salinity and erosion, are already serious issues. About 20% of the country's population (6 million people) is currently affected by water salinization. The situation is further worsened by the continuing disappearance of the Aral Sea that has lost 57% of its surface area, 80% of its volume and 64% of its depth in the past four decades. The Aral Sea basin is now a salt desert called Aralkum that affects the entire country's ecology. Aridity is also expected to increase across the entire country, most notably in the west.

In addition, water scarcity is expected to significantly worsen due to the projected reduction in water resources. The country's water deficit, 2,000 m<sup>3</sup> in 2005, is predicted to rise to 7,000 m<sup>3</sup> by 2030 and to 13,000 m<sup>3</sup> by 2050. This deficit will impact agriculture, particularly the production of cotton - one of the country's major exports. When the effects of water shortages are considered, climate change is expected to reduce all crops yields by 20–50% through 2050.<sup>5</sup>

The poorest population lives in the most arid parts of the country and is dependent on agricultural activities for their subsistence. This creates a situation of increased vulnerability to changes in climate conditions and natural resources availability, highlighting the urgent need for climate change adaptation measures.

### Development frameworks and processes:

The legislative document that governs climate change policies and actions is the 1999 National Strategy on Sustainable Development (NSSD). It addresses the implementation of sustainable development principles and aims to promote integrated sustainable development resource management (including agriculture) and increase overall human well-being, including adaptation and mitigation to climate change. Among the outlined policy goals are support for ecosystem integrity through efficient natural resource management, mitigating the impacts of economic growth on the natural environment, environmental protection, leveraging of international co-operation for climate change efforts, and the need for a climate change policy.<sup>6</sup> The NSSD serves as the overarching framework for sustainable development and functions as the basic reference document for all strategies and legislations.

Uzbekistan's five-year plan, Uzbekistan's Development Strategy for 2017-2021<sup>7</sup>, adopted in 2017, has five priority areas including: a) system of state and public construction, b) rule of law and judicial system reform, c) economic development and liberalization, d) development of social sphere, and e) security, inter-ethnic harmony and religious tolerance and balanced foreign

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<sup>1</sup> State Committee for Statistics of the Republic of Uzbekistan, Available at: <https://www.stat.uz/en/official-statistics/demography-and-labor/statistical-tables>

<sup>2</sup> ADB: <https://www.adb.org/publications/basic-statistics-2018>

<sup>3</sup> UNDP. 2015. Human Development Report, available at: <http://hdr.undp.org/en/countries/profiles/UZB>; and World Bank. 2016. Climate Change Knowledge Portal, available at: [http://sdwebx.worldbank.org/climateportal/index.cfm?page=country\\_historical\\_climate&ThisRegion=Asia&ThisCCCode=UZB](http://sdwebx.worldbank.org/climateportal/index.cfm?page=country_historical_climate&ThisRegion=Asia&ThisCCCode=UZB)

<sup>4</sup> IPCC. 2007. Climate Change: Impacts, Adaptation, and Vulnerability. Contribution of Working Group II to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change. Cambridge University Press: Cambridge, UK

<sup>5</sup> Sutton, WR, *et al.* 2013. Reducing the Vulnerability of Uzbekistan's Agricultural Systems to Climate Change: Impact Assessment and Adaptation Options. World Bank Study. World Bank: Washington, DC

<sup>6</sup> Centre of Hydrometeorological Service, Cabinet of Ministers. 2008. Second National Communication of the Republic of Uzbekistan under the United Nations Framework Convention on Climate Change

<sup>7</sup> <http://strategy.gov.uz/en>

policy. Climate change, including adaptation, appears prominently in the government's priority on economic development and liberalization, indicating strong political support.

The government's budgeting cycle follows the now-defunct annual investment programs that are currently being replaced by the mid and long-term ones. It indirectly includes mitigation activities as part of the national budget through budgeting for energy efficiency and energy saving activities. However, there is no dedicated window for adaptation in the cycle. Therefore, expenditures and effectiveness of investments in climate change adaptation are neither monitored nor budgeted for.

#### **Regulatory and policy frameworks, assessments for climate change:**

According to the country's Third National Communication to the UNFCCC (TNC), although adaptation measures and actions are being implemented and planned in national and sectoral plans, a special national program of adaptation to climate change in Uzbekistan has not yet been developed. Uzbekistan's NAP therefore will need to be underpinned by the NSSD and closely aligned to the development strategy.

Recognizing that reducing Uzbekistan's vulnerability to climate change is complex and multi-faceted, requiring increased investment and greater integration of CCA and disaster risk reduction (DRR) into ongoing development programs, the Government has begun advancing a NAP process with the support of UNDP. A preliminary stocktaking reviewed relevant initiatives on climate mainstreaming as of October 2016. This process included a qualitative assessment of the institutional framework and capacities relevant to the NAP process and resulted in a proposed country-based roadmap to advance the NAP process.

Uzbekistan has been consistent in its efforts to improve national policies and plans on climate change, though it does not yet have a focused and overarching climate change policy document that provides a strategic framework for both national and subnational planning. Many of the laws and policies related to climate change stem from broad regulations on air quality, water use and extractives. Most measures have a sectoral emphasis and are integrated with sector-specific economic development strategies. Different ministries and agencies focus on different aspects of climate change without a formal structure to integrate climate change-related concerns in national development programs and policies.

One of the key national frameworks is the **State Environmental Protection Programme (SEPP)**. The SEPP is developed by the State Committee of Uzbekistan for Ecology and Environment Protection (SCEEP), approved by the Cabinet of Ministers and updated every five years. The current version of this strategy is for the period of 2013–2017.<sup>8</sup> The program recognizes climate change as one of the major environmental problems, calling for it to be addressed by regional and international cooperation. The SEPP identified the development of the Third National Communication as a major priority for climate change related activity.

2019 **Decree of the President of Uzbekistan #UP-5863 of 30 October 2019** "On adoption of a Concept for Environment Protection up to 2030".<sup>9</sup> The Concept sets up the priority directions of the government policy on environment protection up to 2030, which implementation allows ensuring the country's sustainable development for the generations to come. It is an integrated part of the social and economic development that is being implemented in Uzbekistan to improve the quality of life of its population.

The **Second and Third National Communications of Uzbekistan to the UNFCCC** (2008<sup>10</sup>, 2016<sup>11</sup>) are the primary documents that assesses the impacts of climate change and outline adaptation options in response to projected climate hazards. The National Communications include assessments of climate change impacts as well as broad recommendations on potential adaptation and mitigation options for each sector, including agriculture, water resources, public health, energy, biodiversity and ecosystems.

Additional climate related legislation includes:

2019 **Decree of the President of Uzbekistan #UP-5706 of 10 April 2019** "On introducing innovative system for prevention and response to emergency situations as well as ensuring fire protection and safety". It requests transfer of Center of Hydrometeorological Services (Uzhydromet) from the Ministry of Emergency to the Cabinet of Ministers of the Republic of Uzbekistan with preservations of its key functions mentioned above.

2017 **Resolution of the Cabinet of Ministers #606 of 09.08.2017** "On adoption of Regulations for the Ministry of Emergency Situations of the Republic of Uzbekistan, Center of Hydrometeorological Services under the Ministry and State Inspectorate on Control and Supervision under the large and particularly important water facilities under the Ministry's responsibility." This stipulates that Uzhydromet shall provide all national institutions and citizens with information about the current and forecasted

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<sup>8</sup> Decree by the Cabinet of Ministers of Uzbekistan "On the nature protection programme of the Republic of Uzbekistan for 2013-2017", #142 of 27 May 2013

<sup>9</sup> <http://lex.uz/ru/docs/4574010> and <http://www.uznature.uz/yz/site/news?id=338>

<sup>10</sup> Centre of Hydrometeorological Service, Cabinet of Ministers. 2008. Second National Communication of the Republic of Uzbekistan under the United Nations Framework Convention on Climate Change

<sup>11</sup> [https://unfccc.int/sites/default/files/resource/TNC of Uzbekistan under UNFCCC\\_english\\_n.pdf](https://unfccc.int/sites/default/files/resource/TNC%20of%20Uzbekistan%20under%20UNFCCC_english_n.pdf)

hydrometeorological situation and climate change; and conduct studies on improving short-term and long-term forecasting of weather and climate change;

Resolution of the Cabinet of Ministers “Approving the State Program on Prediction and Prevention of Emergency situations” #71 of 03.04.2007, includes forecast of possible emergencies, in particular natural disasters, development of coordination mechanisms of emergency risk management, establishment of early warning and information system;

Resolution of the Cabinet of Ministers “Approving the Order of Preparation and Implementation of Investment projects in the framework of the Clean Development Mechanism under the Kyoto Protocol” #9 of 10.01.2007, stipulates regulations on development and implementation of investment projects within the Clean Development mechanism under the Kyoto Protocol;

Resolution of the Cabinet of Ministers “Action Plan of the Republic of Uzbekistan for Environmental Protection for the years 2013–2017” #142 of 27.05.2013, stipulates that the Action Plan is based on the national environment policy that aims at ecosystem protection, granting a good quality environment for the population and harmonization of environment protection with green economy development, with a particular focus on the most environment vulnerable regions such as Aral sea disaster region.

Uzbekistan’s *Intended Nationally Determined Contributions (INDC)* (2017)<sup>12</sup> sets climate change adaptation as a priority in several areas. This includes considering adaptation in the agriculture, water management, and social sectors, as well as applying ecosystem-based adaptation to efforts such as mitigating the impacts of the Aral Sea disaster and adaptation of strategic infrastructure and production facilities. Short of explicitly naming NAP, the INDC further outlines the country’s planning process to strengthen adaptation and mitigation actions including political measures, implementation of climate actions, development of scientific research and education, and inception of systems for monitoring and evaluation (the latter specific to mitigation).

**The Presidential Resolution #PP-4477 of 4 October 2019 on the National Strategy for Transition to Green Economy for the period 2019-2030** stipulates the following priority areas of its implementation: improving energy efficiency in basic sectors of the economy; diversification of energy consumption and development of the use of renewable energy sources; adaptation and mitigation of the effects of climate change, increasing the efficiency of the use of natural resources and the conservation of natural ecosystems; and development of financial and non-financial mechanisms to support the green economy.

**The Presidential Decree #UP-5863 of 30 October 2019 on the National Strategy for Environment Protection up to 2030** identifies the measures to be implemented for: preservation and quality assurance of environmental objects (air, water, land, soil, subsoil, biodiversity, protected natural areas) from anthropogenic impact and other negatively affecting factors; priority use of materials, products, production and other facilities that are the most environmental friendly; expansion of protected natural areas; ensuring the environmentally sound use of toxic chemical and radioactive substances; improving the environmentally sound waste management system; the formation of ecological culture of the population, increasing the level of transparency of the activities of state bodies in the field of environmental protection and strengthening the role of civil society. The Concept will be implemented in stages on the basis of “roadmaps” approved separately by the Cabinet of Ministers of the Republic of Uzbekistan for a three-year period based on the results achieved, targets and key environmental priority for the corresponding periods.

#### **Entry points for mainstreaming adaptation:**

In January 2018, Uzbekistan abandoned its annual investment programmes and is now poised to develop state development programmes for 10-15 years<sup>13</sup>. As part of the initiative the government of Uzbekistan will be developing long-term sectoral goals. Furthermore, a Fund for Financing Government Development Programmes under the Cabinet of Ministers was established in 2017. While it is not yet operational, its staff were trained in 2018, with a view to raise funds in 2019. The fund will primarily serve to aliment the state development programmes based on sectoral priorities; the criteria for accessing the fund have not yet been set. These new developments provide a unique entry point for Uzbekistan’s multi-sectoral adaptation planning at different levels of government.

To date, the national budget details have not been made publicly available in Uzbekistan. However, with a reform of the national economy the Presidential Decree on “measures to improve openness and transparency of state budget and state targeted funds including the Road Map for the period of 2018-2020” has been published for public feedback and discussion. It includes a call for an “Open Budget” internet portal to provide easy access to information and data on state and extra-budgetary funds on: a) process of formation, discussion, approval and execution of budgets; b) resources allocated by budgets for maintenance, reconstruction/construction of projects implemented under the state development programmes; c) resources allocated for social needs.

Another such decree on “Measures on implementation of the project management system in the Republic of Uzbekistan” (that also established a National Project Management Agency) aims to provide: a) a single information system of project management

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<sup>12</sup> [http://www4.unfccc.int/Submissions/INDC/Published%20Documents/Uzbekistan/1/INDC%20Uzbekistan%2018-04-2017\\_Eng\\_20170419093154\\_171926.pdf](http://www4.unfccc.int/Submissions/INDC/Published%20Documents/Uzbekistan/1/INDC%20Uzbekistan%2018-04-2017_Eng_20170419093154_171926.pdf)

<sup>13</sup> <https://www.uzdaily.com/articles-id-42336.htm>

to enhance efficiency and transparency of government programmes; b) effectiveness and transparency of development and implementation of state and regional programmes, investment projects, financed by state budget, trust funds, foreign loans, credits and grants.

These two initiatives provide a timely entry point for Uzbekistan's NAP to promote consideration of climate change adaptation priorities into national and local budgets and anchor the M&E system within the national project management system.

#### **Regional and sector focus:**

Following the Aral Sea disaster, the most vulnerable regions in terms of aridity include Karakalpakstan, Bukhara, and Khorezm. These three form the priority provinces for this project, as agricultural land in these provinces are considered highly prone to salinization, aridization, desertification, and land degradation aggravated by notable reduction of available water resources<sup>14</sup>. Furthermore, all are provinces in the Aral Sea Disaster region that are of particular importance to the Government Programme on Development of Aral Sea region (2017-2021). A Climate Risk Profile for the country, developed by UNDP in 2015, conducted extensive vulnerability assessments in the aforementioned regions and information is readily available. These three regions were identified as priority areas in Uzbekistan's national communications to the UNFCCC as well as during the stakeholder consultation exercise conducted in October 2016, which specifically outlined them as NAP priority areas.

Similarly, assessments conducted for NSSD, the National Communications and NDC for Uzbekistan identify a number of priority sectors for climate change. Of all the vulnerable sectors, agriculture, water, health, emergency situations and housing are the most recurring and therefore form the focus of intervention under this proposal.

#### **Sectoral integration and policies:**

There are a number of sectoral ministries responsible for adaptation and mitigation policy development and implementation.

Specific policies and laws on water, efficient use of energy, emissions and forests exist; however, they have not been developed within an overarching climate change policy framework. Climate change is addressed, to some extent, in various policy documents, such as the *Water Saving and Rational Water Use in Irrigated Land Tenure Strategy*, the *National Strategy for Agriculture Development*, *National Strategy for Adaptation of Public Health Care System to Climate Change*, strategies for adaptation of forestry to climate change, including the *Forest Code*, *National Forest Programme*, etc.

The Ministry of Agriculture (MoA) and Ministry of Water Resources (MWR) - both separated from the Ministry of Agriculture and Water Resources (MAWR) within the current reforms - are responsible for the formulation and promotion of policies and strategies related to the development of agriculture and water resources respectively. Though the agriculture sector is significantly dependent on climate conditions, the institutional capacities of agricultural producers to address climate impacts and risks are limited. Given the level of rural poverty, both ministries also play an important role in improving rural livelihoods by increasing farm competitiveness and access to markets. MWR is also responsible for matters relating management and regulation of water resource availability and use; and the design, construction and maintenance of irrigation related water storage, delivery and drainage infrastructure (for irrigation).

The Ministry of Emergency Situations is, among others, responsible for policy development and implementation on emergency situations and prevention, as well as the establishment, administration and maintenance of the national system for prevention and disaster risk management.

The main responsibility of the Ministry of Health is implementation of policy for the preservation and improvement of population health and development of preventive public health services. The ministry's recent assessments have linked rise in temperature and sharp change in atmospheric pressures to greater occurrences of acute intestinal diseases and increased mortality rates in Uzbekistan<sup>15</sup>. The Third National Communication further calls for improved qualitative assessment of climate change impact on population health with reliable data on the main climatic risks, disease incidence and mortality index, as part of the sector's adaptation measures.

#### **Institutional Coordination:**

There is neither a single institution responsible for coordination of adaptation measures nor a national adaptation strategy in Uzbekistan. There are several environmental policies and programs that cover a range of sectoral activities, though the policies and programs are fragmented and uncoordinated.

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<sup>14</sup> Uzbekistan's Second National Communication to the UNFCCC – <https://unfccc.int/documents/144937>; Third National Communication - <https://unfccc.int/documents/89246>

<sup>15</sup> Spectorman, T.Yu, Petrova E.V. Use of Climatic Indices for Evaluation of Climate Change Impact on Population Health in Uzbekistan. Bulletin No 7, Tashkent, NIGMI 2008



The Inter-departmental Council of the Cabinet of Ministers, the government's overarching executive body has overall responsibility for coordinating national mitigation actions and those related to the UNFCCC commitments. In 2003, an Inter-Departmental Commission on Fuel and Energy Saving was established, and, in 2007, the Inter-Departmental Council on Clean Development Mechanism (CDM) was set up. This body is the most significant inter-ministerial entity with a mandate to plan and channel climate finance via the CDM process. A further Inter-Agency Council on Climate Change, chaired by the Deputy Prime Minister, enables high-level discussions and coordination on climate change and CDM projects. There are no technical working groups or national frameworks on climate change adaptation. This NAP project is well placed to support the preparation of such a framework for Uzbekistan through development of an action plan for a National Adaptation Plan.

since 2004, by Resolution of the Cabinet of Minister (#183 of 14.04.2004), the Centre of Hydrometeorological Service (Uzhydromet) is designated to coordinate activities related to climate change and achieving the goals and objectives of UNFCCC. The General Director of Uzhydromet is the Focal Point to UNFCCC, national designated authority to the Adaptation Fund, and up to November 2019 has performed the same functions to the Green Climate Fund (currently these responsibilities are with the Ministry of Investments and Foreign Trade (MIFT) as per the Government decision). Uzhydromet thus shares all matters of international climate change in the country with MIFT.<sup>16</sup> Uzhydromet is responsible for weather forecasting; climate, extreme weather events, hydro-meteorological and agro-meteorological monitoring; the forecasting of water availability and climate research. Uzhydromet also operates and maintains the weather stations across the country. The proposed project can support an establishment of an Inter-Agency Working Group on climate change adaptation under Uzhydromet, with participation of technical experts from ministries represented under the inter-agency council on climate change.

Additionally, Uzhydromet is responsible for developing National Communications, provides expertise on climate change and climate variability issues, and undertakes various implementation functions under the UNFCCC (including public awareness and capacity building activities related to climate change). Uzhydromet has a number of expert groups to address GHG inventory, mitigation assessment, vulnerability and adaptation assessment, integration of climate change concerns into national plans for development and policies, environmentally safe technologies, public training, networking and information. It is also responsible for providing estimates of the potential impacts of climate change and making recommendations concerning adaptation measures and strategies.

Uzhydromet generally cooperates with a number of departments and ministries in carrying out its responsibilities, including:

- Ministry of Economy and Industry<sup>17</sup>
- Ministry of Agriculture
- Ministry of Water Resources
- State Committee for Forestry
- Ministry of Health
- State Committee for Statistics
- State Committee for Ecology and Environment Protection
- State Committee for Land Resources Cartography and State Cadaster
- Ministry of Energy<sup>18</sup>; and National Power Company (Uzbekenergo), National Oil and Gas Company (Uzbekneftegaz)
- National Construction Materials Company (Uzstroyaterialy)
- Scientific and Research Hydrometeorological Institute
- Non-governmental and non-profit organizations

The State Committee of Uzbekistan for Ecology and Environment Protection (SCEEP) is the designated overall (i.e. non-sector based) coordinating body that is implementing government oversight and control as well as inter-sectoral management related to protection, utilization and reproduction of natural resources. The SCEEP leads the development and implementation of environmental protection policies; monitors environmental health, pollution, and other harmful substances; and promotes the adoption of clean technologies and waste recycling. The SCEEP is also responsible for reviewing programs, concepts and other relevant documents relating to the environment on the national and regional level. Uzhydromet cooperates with the SCEEP, among other actors, in fulfilling its duties regarding international climate change matters such as GHG inventory and NC reporting, preparation of negotiating position, etc. This important relationship can be further strengthened through SCEEP's involvement and participation in the proposed Inter-Agency Working Group on climate change.

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<sup>16</sup> <https://www.greenclimate.fund/countries/uzbekistan>

<sup>17</sup> <https://www.uzdaily.uz/en/post/47288>

<sup>18</sup> <https://www.uzdaily.uz/en/post/47669>

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### III. STRATEGY

The project is relevant to the UNDAF/Country Programme Outcome: By 2020, rural population benefit from sustainable management of natural resources and resilience to disasters and climate change.

Most of the country is characterised by aridity – according to the UNEP aridity index<sup>19</sup>, and most of Uzbekistan's territory is classified as a drought zone, susceptible to land degradation and desertification. Previously, wet/dry cycles occurred every 8-10 years, however this variability is now practically an annual event<sup>20</sup>. The climate change impacts do not act independently of each other; their interwoven effects, combined with anthropogenic pressures, will affect vulnerable sectors in complex ways. Moreover, the poorest population living in the most arid parts of the country and is involved in the agriculture activities, and thus are fully dependent on climate conditions and the natural resource base for their subsistence. It will be seriously affected by increasing climate variability and climate change impacts. This makes adaptation measures particularly urgent. As part of the localization of the Sustainable Development Goals (SDGs), the NAP process will contribute to the formulation of corresponding, climate-responsive targets.

This project is designed to address the following problem: despite significant government strides to address climate change in recent years, climate change adaptation is not sufficiently integrated into the Republic of Uzbekistan's development planning and budgeting processes.

Barriers limiting the effective advancement of iterative adaptation planning in Uzbekistan are listed below. These have been identified via literature review of existing documentation, consultations with key national stakeholders, and a stakeholder-validated stock-taking exercise conducted in October 2016.

#### Barriers:

- a) **Lack of a framework to govern climate change**, despite adaptation being a priority for Uzbekistan, hampers effective adaptation planning in the country.
  - Despite the recognition of the importance of climate change adaptation in a number of policy documents such as the NSSD, TNC and NDC, there is no single institution charged with coordinating climate change adaptation.
  - Although there is extensive legislation on environment, existing policies only marginally cover protection of the climate system and mainly focus on clean air.
  - Through its NSSD and draft legislation on renewable energy sources, a greater focus has been afforded to mitigation actions with a vision to reduce consumption and energy-intensity. There is no overarching framework to govern climate change adaptation.
  - While there are references to climate change adaptation in some sectoral policy documents, none of the priority sectors in Uzbekistan have adaptation plans or components in their development plans.
- b) **Limited technical skills and institutional capacity** to effectively coordinate and implement multi-stakeholder adaptation planning at national and local levels.
  - Apart from the rapid skills assessment undertaken during the UNDP-UNITAR-led stocktaking mission, no technical capacity assessments have been undertaken for climate change integration in key ministries.
  - SCEEP is responsible for developing and implementing environmental protection policies at national and regional levels. However, there are no provisions to assess climate risks at the regional level.
  - Economic valuation or analyses are not systematically employed to appraise or prioritize adaptation interventions in the country.
- c) **Lack of harmonized data collection and distribution** to effectively guide investments in climate change adaptation.
  - Multiple localised climate related analyses exist in Uzbekistan, including information on climate risks and extreme phenomena. However, there is no multi-sectoral data coordination system to collect and disseminate the information in an easily digestible manner.
  - Although climate vulnerability assessments for water and agriculture sectors have recently been conducted in preparation of the TNC and Uzbekistan's Climate Risk Profile, there is a distinct need to bolster the existing assessment for the health sector.
  - A gap assessment for climate impact and vulnerability information has not been conducted in Uzbekistan.
  - There is no functional communication strategy for climate change in the country.

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<sup>19</sup> The UNEP aridity index is based on the ratio of rainfall to potential evapotranspiration (Middleton & Thomas, 1992, 1997).

<sup>20</sup> Scientific and Production Water Resources Sector (SANIRI).

- d) **Limited capacity to monitor climate change adaptation investments** to inform laws, policies and future medium-to long-term investments.
- Due to the ad-hoc nature of adaptation actions, there's limited information on what measures have been tested and which ones are successful.
  - Although Uzhydromet is charged with collecting and processing climate related data, there is limited understanding of CCA effectiveness. Likewise, monitoring and evaluation through identification of methods of evaluation for adaptation interventions is lacking. Currently Uzhydromet only assesses extreme phenomena and long-term climate impacts.
  - A general lack of climate adaptation related expenditures tracking and budgeting limits the government's capacity to monitor investments and inform policies.
  - Fund for Financing Government Development Programme that is aimed to finance state development programmes at different levels of the government in its nascent stage, not operational, and no funding criteria yet set.

To overcome these barriers, this readiness and preparatory support proposal on adaptation planning proposes the following interrelated outcomes. The sequencing of the underlying activities further ensures complementarity between the three outcomes – i.e. the capacities developed under the first outcome help strengthen the prioritization and integration of adaptation options into sectoral plans and budgets under outcome two, which in turn provides specific entry points into financing and investment strategy in outcome three. Together these three outcomes will advance effective adaptation planning in Uzbekistan.

*Outcome 1: The coordination mechanism for multi-sectoral adaptation planning and implementation at different levels is strengthened*

- Capacities of the Ministry of Investments and Foreign Trade (NDA), Uzhydromet and sectoral partners to steer the climate change coordination and integration process are strengthened and an adaptation framework is initiated;
- Institutional barriers to the integration of climate change into development planning and policies are reviewed and key stakeholders are sensitized to climate change adaptation and development linkages;
- Capacities for regularly monitoring, updating and reviewing adaptation actions is enhanced

The above activities together aim to address the barriers related to limited technical skills, cross sectoral engagement, and framework to govern climate change in Uzbekistan by a) developing technical capacity for coordination and monitoring of CCA, b) initiating the NAP as a framework, and c) building awareness and promoting cross-sectoral engagement. Trainings and workshops envisaged as part of this outcome will be informed by development of M&E methodology, as well as guidelines on CCA integration and economic appraisal as part of this outcome and that under Outcome 2, respectively.

*Outcome 2: The evidence base for adaptation planning is strengthened and adaptation prioritized into national and sectoral planning and budgeting*

- Climate data is consolidated for the 5 priority sectors, and vulnerability assessments conducted for the health sector
- A system for economic analysis and appraisal of priority adaptation options is established
- CCA priority interventions are integrated into national and sectoral planning and budgeting

Activities under this outcome aim to address barriers related to the weak existing knowledge base on climate change, encouraging harmonized data collection and distribution, valuation and prioritization, and a sectoral integration of CCA priorities. This will be accomplished by a) consolidating and complementing climate data through a single outlet, b) establishing a system for economic valuation and prioritization, and c) integration of CCA priorities into sectoral plans and budgets.

*Outcome 3: Adaptation financing and investment strategy for Uzbekistan is developed*

- A NAP Financing and Investment Strategy on initial priority sectors considering specific impacts and vulnerabilities is developed through consultative process with equal representation of women;
- Private sector engagement in CCA is strengthened

The above activities aim to address barriers related to lack of CCA related expenditure tracking and budgeting, and a lack of a framework and monitoring system resulting in limited investments in CCA. This will be accomplished by a) developing a financing strategy for CCA, and b) facilitating an enabling environment for private sector engagement in CCA.

Through the above outcomes and outputs, the project aims to support systematic integration of adaptation priorities in Uzbekistan, anchored in its National Strategy for Sustainable Development and in line with its Development Strategy for 2017-2021. A financing strategy will ensure the adaptation planning process remains sustainable beyond the life of this project.

Considerations of vulnerable populations are also important to the NAP process. It emphasizes gender inclusiveness in climate change adaptation planning and budgeting, recognizing that adaptation cannot be successful without the involvement of all Uzbeks, in particular women. During the implementation process, gender concerns will be brought forward through a)

sensitization of official beneficiaries on the importance of women in the society and in adaptation process and promote their involvement in all aspects of the process; b) engagement of women and gender experts in trainings, meetings, workshops; and c) development support, evaluation and selection of gender-sensitive initiatives for further implementation.

The project will be implemented with extensive stakeholder consultations, studies, and assessments to foster national and subnational ownership to further ensure sustainability of outcomes.

A follow-up project will be proposed to fill gaps identified through this phase and develop Uzbekistan's NAP document, that will serve to address the lack of a framework for climate change adaptation in Uzbekistan. The second phase will be informed by the results of this phase, particularly in identification of policy bottlenecks for effective adaptation planning, and institutional barriers and gaps in technical skills assessed by this phase. Brief description of envisaged activities for the second phase of Uzbekistan's NAP project is provided as Annex II below.

In proposing the set of solutions to overcome the barriers mentioned above and advance the adaptation planning process in Uzbekistan, the proposal takes into consideration potential risks for delays in implementation of the project. These risks, political, financial and organizational in nature are listed below. Detailed description, along with countermeasures and/or proposed management responses are provided as Annex III. The project sustainability, and successful implementation of the project are dependent on mitigating the following risks: a) problems related to involvement and cooperation of stakeholders to provide the project team with data from ongoing and past interventions, historical climatic data, lessons, etc.; b) Government will not have funds to sustain the national arrangements after the completion of this project; c) Conflicts among stakeholders as regards their roles in the project resulting in potential duplication of efforts; d) Lack of political will to support the project; e) Limited capacity within relevant ministries and/or insufficient qualified human capacity; and f) Exclusion of vulnerable or affected stakeholders from fully participating in the project and decisions that may affect them.

Taking the above into consideration, the proposed NAP project has built in activities or contingency measures to mitigate the risks as much as possible. Please see the risk table below for further information.

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## IV. RESULTS AND PARTNERSHIPS

### Expected Results:

The project aims to strengthen institutional and technical capacities for iterative development of a NAP and integration of climate change adaptation into national and subnational planning and budgeting processes in Uzbekistan. This will involve strengthening of existing frameworks and systems, enhancing capacities of key stakeholders, expanding the evidence base to effectively contribute to the adaptation planning process, and establishing a mechanism to sustain the process. A second phase of the GCF readiness proposal will address the problem of a lack of a national framework on adaptation by compiling the relevant information generated from Outcomes 1-3 and drafting a National Adaptation Plan (document) for Uzbekistan.

The project's primary beneficiary will be Uzhydromet and key sector stakeholders from 5 priority sectors (agriculture, water, health, housing and emergency management).

To achieve the above goals, the project proposes 3 outcomes under a first phase of the GCF Adaptation Planning Readiness Support.

The description of sub-outcomes under each outcome is provided below:

### **Outcome 1: The coordination mechanism for multi-sectoral adaptation planning and implementation at different levels is strengthened**

#### **1.1 Capacities of Uzhydromet, NDA and sectoral partners to steer the climate change coordination and integration process are strengthened and adaptation framework initiated**

An action plan for preparation of a climate change adaptation framework will be initiated under this sub-outcome. It will further define the mission, roles, and responsibilities of Uzhydromet (as the steering body) and its Inter-Agency Working Group for effective coordination mechanism on climate change adaptation. This sub-outcome further addresses the lack of existing capacity assessments for climate change integration by conducting a capacity development plan to coordinate CCA policies across sectors and levels of government. Furthermore, the capacity of Uzhydromet personnel to coordinate CCA efforts will be strengthened.

##### *1.1.1 Establish and operationalize a gender-sensitive and participatory coordination process for climate change adaptation*

A participatory, inter-agency working group (IAWG)<sup>21</sup>, composed of Ministry of Investments and Foreign Trade (MIFT as NDA), SCEEP, Uzhydromet, Ministry of Finance, Economy, Agriculture, Water Resources, Health, Emergency Situations and Housing, State Committee for Statistics as well as representatives of provincial governments of Karapalpakstan, Bukhara and Khorezm, research institutions, private sector, NGOs, local communities and technical and financial partners, will be set up as part of this activity to steer the adaptation planning process in Uzbekistan. Roles and responsibilities to guide the process will also be elaborated and technical experts will be contracted to support the coordination role of Uzhydromet. In order to address the barrier of a lack of climate change adaptation framework in the country, an adaptation framework will be drafted, including an action plan to develop sectoral plans and a consolidated NAP. The NAP document itself will be developed through a second phase of the adaptation planning proposal and will be informed by results of the activities of this phase.

**1.1.2** *Conduct gaps assessments focused on technical capacity related to climate change (climate change information, tools for integration, project development, gender mainstreaming, monitoring and evaluation) for key stakeholders from the Inter-Agency Working Group to improve coordination across sectors and different levels of government.*

In-depth gaps assessments will be conducted to strengthen capacity of individuals and institutions via surveys, interviews, and literature review. A capacity development plan will be developed and validated for a) access and use of climate information, b) tools for integration, c) project development, d) gender mainstreaming, and e) monitoring and evaluation, etc.

**1.1.3** *Implement capacity development programme for up to 4 areas including access and use of climate information, tools for integration, economic appraisal and prioritization, project development, gender mainstreaming, monitoring and evaluation.*

Trainings informed by gaps assessment in 1.1.2 will be conducted under this activity for up to 10 institutions party to the IAWG over the course of the project.

## **1.2 Institutional barriers to the integration of climate change into development planning and policies are reviewed and key stakeholders are sensitized to climate change adaptation and development linkages**

Through this sub-outcome, the project will aim to identify legal and policy barriers to effective adaptation planning, as well as awareness gaps in the government by a) conducting in-depth reviews and barrier analyses and providing recommendations, and b) raising awareness at various levels of government through involving academia and research institutions.

**1.2.1** *Gap analysis conducted towards framework for climate change adaptation planning, building on the government's initiative to install state development programmes, and in line with NSSD*

An institutional barrier analysis for climate change at national level, including but not limited to a review of the Fund for Financing Government Development Programme, national and sectoral policies and laws, and at the provincial level will be conducted for the priority provinces and validated. Recommendations for integration of CCA considerations into the said policies and laws will also be made. Capacity needs, and action plan will also be developed for funding through a second phase of the proposal. Information from the barrier analysis will further feed into activity 1.1.1.

**1.2.2** *Outreach and advocacy to enhance awareness of provincial governments, civil society, research institutes and private sector on adaptation action conducted*

A communication strategy on CCA for Uzhydromet will be developed and outreach activities will be conducted. These will include TV and radio programmes, news articles, and case studies to be created and distributed under this activity. CCA-related curriculum at universities and research programmes will also be reviewed and recommendations will be made to strengthen availability of the curriculum in the Uzbek language.

## **1.3 Capacity for regularly monitoring, updating and reviewing adaptation actions is enhanced**

This sub-outcome will support government capacity development to enhance monitoring of adaptation action effectiveness and iterative updates to adaptation plans. Specifically, the output will strengthen the country's Project Management Authority and integrate climate adaptation related information into the project management and monitoring system.

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<sup>21</sup> Please see Annex IV for detailed information on functioning of the Inter-Agency Working Group.

- 1.3.1 *Identify appropriate indicators to monitor impacts of adaptation interventions with focus on gender sensitive indicators, in concert with the National Project Management Agency and State Committee for Statistics and aligned with national project management system*  
As part of strengthening the M&E procedures in country, this activity will help generate gender-sensitive CCA indicators and will develop procedures for data collection and dissemination. The aim of the activity will be to bolster the M&E system and try to link the climate and gender related data to the national Project Management System, in cooperation with the State Committee for Statistics and the National Project Management Authority to ensure transparency and availability of climatic data.
- 1.3.2 *Capacity building activities conducted to expand reporting and information use for decision-making on adaptation with relevant stakeholders, including with provincial partners*  
2 Training workshops at national level and 1 each for the 3 priority provinces will be conducted on utilization of national database and M&E of existing projects following the procedures developed under 1.3.1.
- 1.3.3 *Document lessons learned and best practices of adaptation interventions to encourage scaling up of successful approaches*  
Under this activity, those trained under 1.3.2, in particular Uzhydromet and IAWG members will be encouraged to continuously compile lessons from adaptation measure and record in the national project management system.

**Outcome 2: The evidence base for adaptation planning is strengthened and adaptation prioritized into national and sectoral planning and budgeting**

**2.1 Climate data is consolidated for 5 priority sectors, and vulnerability assessments conducted for the health sector**

Through this sub-outcome, climate-related data (including existing vulnerability assessments) will be compiled and reviewed. Gaps will be identified and additional assessments, namely in the health sector, will be conducted in the 3 priority regions: Republic of Karakalpakstan, and Bukhara and Khorezm provinces.

- 2.1.1 *Compile existing climatic information for key sectors (agriculture, water, health, emergency situations and housing)*  
A sub-set of the IAWG will be tasked to review existing climate and vulnerability assessments and CCA projects for the priority sectors and document a list of gaps. Imaging and digitization of historic climate data archives (to complement the work initiated with support from WMO) will be undertaken to ensure it is incorporated into climate projections and climate research to support evidence-based identification of adaptation priorities. Furthermore, an action plan, along with funding strategy to finance future assessments will be drafted and validated.
- 2.1.2 *Detailed climate vulnerability assessment conducted for the health sector, as recommended in Uzbekistan's TNC*  
An improved qualitative assessment of impacts on health from climate change will be conducted under this activity, with specific focus on impacts of climate change on various gender groups' health in the 3 targeted provinces. The activities under 2.1, along with 2.2 will help inform integration of priority adaptation interventions into sectoral planning and budgeting in 2.3.

**2.2 System for economic analysis and appraisal of priority adaptation options is strengthened**

Under this sub-outcome, barriers related to lack of technical skills to prioritize adaptation actions will be addressed. Ministry of Finance's system for economic analysis and appraisal of projects will be complemented to include climate change risks and subsequently, adaptation criteria, in appraisal of projects and programmes. Trainings will also be conducted in application of tools for economic appraisal of adaptation options.

- 2.2.1 *Complement the system to appraise individual adaptation options, including cost and benefits for unintended impacts of adaptation measures in Uzbekistan, in collaboration with Ministry of Finance*  
A sub-set of IAWG, composed of sector representatives, and Ministry of Finance will be tasked to appraise CCA investments. Currently economic analysis is only conducted with a specific department of Ministry of Finance and the project aims transpose this system to adaptation action in country and to tackle the barrier of insufficient budget appropriations to adaptation, by strengthening capacity of Uzhydromet and sector ministries to objectively quantify financial costs as well as benefits of options, and prioritize appropriate climate action in the country. This activity will also aim to include climate risks and adaptation criteria as part of Ministry of Finance's project appraisal process. The tools will include Cost-Benefit Analysis, Cost-

Effectiveness Analysis and Multi-criteria Analysis of options, among others. Guidelines will be developed, and trainings will be conducted on the use of these prioritization tools.

### **2.3 CCA priority interventions are integrated into national and sectoral planning and budgeting**

Through this sub-outcome, priority adaptation interventions will be integrated into sectoral action plans for the 5 key sectors, alleviating the lack of concerted and prioritized adaptation actions in Uzbekistan.

#### **2.3.1 Align CCA and development priorities and ensure integration with sectoral and provincial plans, to coincide with the government's introduction of state development programme, sectoral plans and "open budget"**

As part of this activity, CCA indicators produced under activity 1.3.1 will be aligned to NSSD, NDC and SDG indicators through 3 national consultative workshops. Adaptation action in the 5 key sectors will be prioritized using tools and guidelines from 2.2.1 and validated, and priorities selected through 2.1.1 and 2.1.2 will be integrated into sectoral plans and budgets. This activity will align itself with the government's plan for State Development Programme to inform investments in provincial and sectoral programmes and projects, the Citizen's budget, as well as the "open budget" designed to aliment the sectoral and local plans, involve local stakeholders and promote transparency.

*Note that action plan in 2.1.1 refers to gaps in information (e.g. vulnerability assessments and recommended next steps to fill those gaps); 2.1.2 deals with assessment for the health sector. 2.3.1 is an activity whereby the assessments and valuation tools (under 2.2.1) will be used to prioritize key action for inclusion into sectoral plans and the 'open budget.'*

The climate change vulnerability assessments (2.1.1.) of the five priority sectors (agriculture, water, health, emergency situations and housing) and three regions will provide the Government of a well-justified and evidence-based arguments (that are currently not available) for effective decision-making on adaptation planning and funding. This will include estimates of cost and benefits for corresponding adaptation measures for each of the targeted sectors and regions with direct involvement of line ministries and in collaboration with the Ministry of Finance (2.2.1). Uzhydromet will lead the nationally set validation process of the proposed sectoral and regional specific adaptation measures, and following adoption through the Ministry of Economy by the Cabinet of Ministers. Once adopted, these will be integrated into sectoral plans and budgets (2.3.1) aligning with the government's action plans for implementation of the State Development Programme, i.e. Uzbekistan's Development Strategy for 2017-2021.

### **Outcome 3: Adaptation financing and investment strategy for Uzbekistan is developed**

#### **3.1 A NAP Financing and Investment Strategy on initial priority sectors considering specific impacts and vulnerabilities is developed through consultative process with equal representation of women**

Activities under this sub-outcome will facilitate the development of a financing and investment strategy for adaptation planning in Uzbekistan to further the integration of CCA within the planning process tackling the barriers. Recommendations will also be made and trainings conducted to integrate climate change adaptation budget codes and tracking within the government's "Open Budget."

##### **3.1.1 Develop a NAP financing and investment strategy through consultative process with public and private sector, vulnerable communities, in collaboration with the GCF Readiness Programme**

Informed by adaptation plans developed in 2.3.1, and strategy produced in 2.1.1, long term financial needs to support adaptation planning in Uzbekistan will be determined via surveys, analyses of budget, costing exercises, etc. A financing and investment strategy will also be developed using actions prioritized under 2.3. Furthermore, an assessment report on sources of available funding from public and private sectors to meet adaptation needs will also be produced as part of this activity. This work will be carried out in close cooperation with the Ministry of Economy and Industry to maximise synergies with the government's state development programs, including through the Fund for Financing Government Development, and encourage CCA investments at different levels of the Uzbek government.

#### **3.2 Private sector engagement in CCA is strengthened**

Under this sub-outcome, and in line with the ongoing GCF Readiness Programme, barriers in mobilizing private sector participation in climate change adaptation will be identified and an enabling environment for community and public-private partnerships will be facilitated to support sectoral and sub-national adaptation planning and actions.

##### **3.2.1 Review barriers to private sector engagement in adaptation in Uzbekistan**

Surveys and consultations will be held to identify barriers and business risks in mobilizing private sector participation in adaptation. Incentive mechanisms and innovative solutions, including identification of green financial products (mortgages, leasing, micro crediting, etc.), and gender focused options, to attract private

sector (farmers, households, homeowners, SMEs, etc.) will be identified and an action plan will be produced as part of this activity. This activity will be further strengthened in a second phase of the NAP project.

Upon successful completion of this project a second phase for funding will be submitted to the GCF. This second phase NAP project will include the following efforts, among others: a) activities related to development of a NAP document for Uzbekistan to serve as the country's framework on climate change adaptation, b) additional capacity development to overcome institutional barriers, c) technical skills development for additional areas, d) implementation of action plan for private sector mobilization, and e) integration of climate change adaptation into additional sectoral plans and policies.

To ensure targets identified are realised and ownership of the deliverables are promoted, the IAWG (activity 1.1.1) will conduct regular monitoring of progress of project implementation through monthly and annual reporting done by the Uzhydromet, as well as Project Board meetings with UNDP as Implementing Agency. IAWG will further support the project with an 'exit' strategy ensuring that all project outputs are owned by the relevant stakeholders for further dissemination and scaling-up, and project achievements and lessons learned are codified and widely shared. Uzhydromet will lead this through implementation of the national policy in the area of climate change.

### Partnerships:

There are a number of past and ongoing interventions in Uzbekistan of direct relevance to the proposed project, as listed below. The project is designed to maximise complementarity with these initiatives, draw on lessons and good practice, and avoid duplication of efforts in advancing Uzbekistan's adaptation planning process.

- Uzbekistan was also part of the UNDP multi-country programme on climate risk management in Central Asia that aims to reduce the risk of occurrence of natural disasters (\$800,000; implemented during 2011-2015).<sup>22</sup> The project was implemented in close collaboration with Uzhydromet, State Committee of Nature Protection, Ministry of Agriculture and Water Resources, the Ministry of Finance and the Ministry of Economy of the Republic of Uzbekistan. It contributed to the implementation of measures aimed at reducing the risk of climate-sensitive natural disasters, capacity building of professionals and young people, as well as raising awareness of the importance of climate change and variability. Adaptation and climate-related disaster risk reduction can be successful in Uzbekistan if i) CRM interventions are based on up-to-date scientific studies and regional analyses of climate change, which will inform key national development policies and strategies; ii) interventions are part of an overarching CRM strategy; iii) finance is raised in order to upscale current adaptation measures and initiate future CRM projects; iv) adaptation is supported by technically skilled/capacitated individuals; v) pilot interventions are initiated to attract funding, catalyse learning and provide information for large-scale interventions (i.e. national and/or regional level); vi) knowledge is shared nationally and regionally; and vii) CRM addresses gender equality and incorporate indigenous knowledge. The National Implementing Partner was Uzhydromet. Lessons from this programme will be drawn upon in development of sectoral plans, informing the financing strategy and contributing towards the NAP of Uzbekistan.
- WMO and Uzhydromet's "Uzbekistan Climate Data Restoration" project funded by the Korea Meteorological Administration (KMA) was implemented by Uzhydromet (\$600,000.00 CHF with project implementation in 2015-2017).<sup>23</sup> A substantial amount of climate data are currently still available in paper format, putting such valuable information at risk of being lost forever. Rescuing data improves climate change research and allows a better understanding of our climate. The project supported Uzbekistan to restore its historical climate data records collected during a period of over 100 years and digitize it to enable further climate change research, climate risk management and adaptation. The proposed NAP project will complement the digitization activities and ensure that the data is incorporated into climate projections and climate research to support evidence-based identification of adaptation priorities.
- An Adaptation Fund project is underway to build institutional and technical capacity for drought management and early warning, establish climate resilient farming practices, establish measures for soil conservation and moisture retention for about 1 million ha of land, and develop and disseminate knowledge about climate resilient agricultural and pastoral production systems in arid lands (\$4,990,878 with project implementation in 2014-2019).<sup>24</sup> The project assists the central, regional and local governments and vulnerable farmers and pastoralists to withstand the current and future impacts of climate change. These impacts include acidification and projected drying of the region that places serious strains on water availability resulting in a decline in land productivity. The project includes the four main components: (i) strengthening of institutional capacity and mechanisms for drought risk management and early warning; (ii) developing climate resilient agricultural and pastoral production systems; (iii) utilizing a landscape level approach to adaptation to climate change risks of increased aridity; and (iv) enhancing knowledge management and awareness raising. The National Implementing

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<sup>22</sup> <http://crm.climatechange.uz/index.php/en/>

<sup>23</sup> <https://public.wmo.int/en/projects/uzbekistan-climate-data-restoration-project>

<sup>24</sup> <http://af.climatechange.uz/index.php/en/>



Partner is Uzhydromet. Although the NAP project and the AF project are quite distinct, the proposed NAP project will draw on lessons from this project in proposing priority adaptation options in agriculture and water sectors and developing a communication/knowledge dissemination strategy for Uzhydromet among others.

- A BMU (Federal Ministry of Environment, Nature Conservation, Building and Nuclear Safety of Germany) funded, UNEP, UNDP, and WRI joint project on GCF Readiness is being implemented in Uzbekistan (\$1,589,458 with project implementation in 2017-2019).<sup>25</sup> The programme targets access to funds and private sector engagement that will require significant preparatory work before GCF financing will be possible at scale. It focuses on a range of preparatory activities to: (a) build and strengthen the institutional capacity of national entities in Uzbekistan, with a focus on enabling direct access; and to (b) help Uzbekistan to prepare climate change mitigation and adaptation investment strategies, programmes and projects, including through the active involvement of the private and financial sectors. The National Implementing Partner is Uzhydromet. The GCF Readiness project has conducted a number of seminars targeted at private and financial institutions in raising awareness on existing climate finance landscape and opportunities to access the GCF. The project has provided technical assistance to Hamkorbank (a commercial bank) in meeting fiduciary standards to access the Green Climate Fund. It has further helped establish a national projects pipeline registry for accessing the GCF. The proposed NAP project will build on the engagement work with the private sector from the Readiness project and through the vulnerability assessments in key sectors and regions (under outcome 2), inform the adaptation component of the investment strategy that will be developed (Sub-outcome 3.1.1), and ensuring complementarity. It will further aim to collaborate with the GCF Readiness Programme to promote private sector participation in adaptation (3.2.1). The development of project ideas as part of the second phase of the NAP project will further seek to align itself to the Readiness Programme.
- A Global Environment Facility (GEF) grant-funded project, 'Market Transformation for Sustainable Rural Housing in Uzbekistan' aims to provide Uzbekistan's rural population with improved, affordable and environmentally friendly living conditions through transforming the rapidly growing rural housing sector towards sustainable and low-carbon development pathway by designing, piloting and scaling-up a green mortgage market mechanism to boost demand for low-carbon housing among the rural population in Uzbekistan (\$6 million with project implementation in 2017-2022).<sup>26</sup> Development of energy efficient and low-carbon designs for affordable rural housing and their construction in the national scale provides adaptation solutions to impacts of climate change, in particular climate aridification, increased heat and cold waves, and dust storms that affect the human health. This will be done also through strengthening relevant policies and regulations, domestic supply chain, and raising public awareness about benefits and advantages of energy efficient/low-carbon housing. The National Implementing Partner is Ministry of Construction. The proposed NAP project will closely collaborate with this project in developing plans for housing and health sectors.
- A joint initiative of UNDP, UK and Ministry of Finance (2017-2018) is being implemented with a view to ensure budget transparency and involve citizens in the budget process that they know about the budget, why they pay taxes, what budget funds are used for, what obligations and guarantees the state has assumed and how they are being implemented, what are the priorities of public spending and how they affect the lives of citizens (openness, transparency of the budget).<sup>27</sup> The Citizen's budget provides information about funding inter alia in renewable energy and energy efficiency, environment protection, Aral Sea region development, etc. The proposed NAP project will endeavour to align itself to the ongoing work on Citizen's budget while integrating adaptation priorities into planning and budgeting of sectoral policies, and in target provinces (the target provinces for this project fall within the Aral Sea region).
- A project concept on improving the efficiency and coverage of multi-hazard early warning systems (EWS) for climate change induced hazards in Uzbekistan for GCF funding is being developed jointly by UNDP and Uzhydromet. The objective of the project is to improve the coverage, efficiency and accuracy of the multi-hazard EWS in Uzbekistan and enhance the use of climate information for an increased resilience of communities and their livelihoods to climate-induced hazards. The project will introduce modern risk assessment and forecasting techniques/technologies, improve the availability of multi-hazard risk information and enable a climate information and EWS system which can more flexibly adapt to changing climatic conditions in the future, as well as provide tools for pro-active planning. The outputs from the proposed NAP project has the potential to inform the multi-hazard risk information envisaged under this concept.
- A full funding proposal on creating enabling policy and financing environment for affordable low-carbon rural housing in Uzbekistan is currently under the joint development by UNDP and Ministry of Construction. The project aims at scaling-up investment in low-carbon (LC) rural houses to unlock this potential while at the same time improving access to

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<sup>25</sup> <http://gcf.climatechange.uz/en>

<sup>26</sup> [http://www.uz.undp.org/content/uzbekistan/en/home/operations/projects/environment\\_and\\_energy/market-transformation-for-sustainable-rural-housing.html](http://www.uz.undp.org/content/uzbekistan/en/home/operations/projects/environment_and_energy/market-transformation-for-sustainable-rural-housing.html)

<sup>27</sup> <https://www.mf.uz/en/novosti-ministerstva-finansov/press-konferentsiya-byudzhet-dlya-grazhdan-2018.html>

affordable housing for Uzbekistan's low-income rural population. The project will help create conducive policy and financing framework for LC housing market and leverage public and private investment under the National Rural Housing Program. The financing framework and private sector engagement strategy for adaptation planning under the proposed NAP project will be closely aligned to financing framework for LC housing under this proposal.

- A World Bank funded, Climate Adaptation and Mitigation Program for Aral Sea Basin (CAMP4ASB) (\$38 million, 2015-2021) is a regional project for Central Asia with the aim to enhance regionally coordinated access to improved climate knowledge services for key stakeholders in participating Central Asian countries, as well as to increase investments and capacity building to address climate challenges common to these countries. As part of the interventions, CAMP4ASB aims to evaluate climate resilient investments and identify potential Direct Access Entities. In the context of Financing and Investment Strategy, the proposed NAP project will coordinate closely with CAMP4ASB and align its activities as much as possible

The proposed GCF NAP project will regularly coordinate its activities with above mentioned and/or other past and ongoing initiatives of relevance to the NAP project in order to maximize efficiency and avoid duplication of efforts. Furthermore, relevant stakeholders engaged in the above activities will be invited to take part in the Technical Advisory Group meetings of this project to explore synergies and solicit good practice and/or lessons learned of relevance to this NAP project.

#### Risks and Assumptions:

This project proposal makes several assumptions:

- The project assumes that the government will support the strengthening of Uzhydromet capacities and governing processes for CCA oversight;
- The project assumes that priority regions and sector ministries/agencies will fully participate in the project's activities;
- The project assumes that documentation and lessons learned from other projects will be made available to the implementation team, and that they will participate in the project's activities.

The project also envisages key potential organizational, financial and political risks in the successful and timely implementation of this project. Potential risks include:

- Problems related to involvement and cooperation of stakeholders to provide the project team with data from ongoing and past interventions, historical climatic data, lessons, etc.;
- Government will not have funds to sustain the national arrangements after the completion of this project;
- Conflicts among stakeholders as regards their roles in the project resulting in potential duplication of efforts;
- Lack of political will to support the project;
- Limited capacity within relevant ministries and/or insufficient qualified human capacity; and
- Exclusion of vulnerable or affected stakeholders from fully participating in the project and decisions that may affect them.

A set of countermeasures as a response to these risks are proposed as part of Annex F, and designed into the proposal to minimize the impacts of these potential risks.

#### Stakeholder engagement:

A stocktaking mission to review relevant initiatives on climate mainstreaming was completed in October 2016. The mission allowed for a qualitative assessment of the institutional framework and capacities relevant to the NAP process and resulted in a proposed country-based roadmap to advance the NAP process. The mission also built on Uzbekistan's participation in the *Eastern Europe, Caucasus and Central Asia Regional Workshop on the NAP Process*, held on 28–30 June, 2016 in Chisinau, Moldova organised by the joint UNDP-UNEP NAP Global Support Programme (NAP-GSP). During this gathering the Government representatives identified some of the critical support needed for the NAP process, mostly in regard to capacity building and improving the knowledge base. The overall aim is that the NAP process will improve integrating long-term adaptation into national and sectoral strategic planning, policy and budgeting processes while offering guidance for domestic and donor-supported resourcing, monitoring, and assistance.

A NAP support mission was undertaken in October of 2016, during which a wide range of stakeholders were consulted and interviewed, including representatives of:

- Ministry of Finance
- Ministry of Foreign Affairs
- Centre of Hydrometeorological Services (Uzhydromet)
- Ministry of Emergency Situations

- National Power Supply Utility
- Scientific and Research Institute on Hydrometeorology
- World Meteorological Organization
- United Nations Development Programme
- Ministry of Economy
- Institute of Forecasting and Macro Economic Researches
- International Solar Energy Institute
- Ministry of Agriculture and Water Resources

During the development of this project, a concept note was jointly formulated and endorsed by representatives of key ministries, including the Ministry of Economy, Uzhydromet and the Ministry of Agriculture and Water Resources. The Ministry of Economy's research institutions were also consulted. Moving forward in the NAP project, stakeholders will be consulted and engaged at all stages of the process, from the launch of the NAP to its implementation and review, through sensitization, consultation, and training workshops. Stakeholders will represent Government institutions, financial and technical partners, international and national non-governmental organizations and local civil society. The role and involvement of the private sector will also be enhanced with targeted activities. *Please see Annex IV for more details on the Inter-Agency Working Group.*

Gender inclusiveness is also at the center of the NAP process. The NAP process highlights the need for gender mainstreaming in climate change adaptation planning and budgeting and recognizes that adaptation cannot be successful without the involvement of all Uzbeks, particularly women. During the implementation process, gender concerns will be brought to the forefront through: (a) the sensitization of official beneficiaries on the crucial role women are playing in the society and in the adaptation process and how essential it is to involve them in every aspect of this process; (b) the engagement of women decision-makers in the trainings, meetings, workshops, etc.; and (c) the development support, evaluation and selection of gender-sensitive initiatives for further implementation.

This project will be directly aligned with the gender policy of the GCF that identifies six priority areas to implement its policy, namely: (a) Governance and institutional structure; (b) Operational guidelines; (c) Capacity building; (d) Outputs, outcomes, impacts and paradigm-shift objectives used for monitoring, reporting and evaluation; (e) Resource allocation and budgeting; and (f) Knowledge generation and communications. The project will address all of these six priorities through a range of adaptation topics, and place emphasis on addressing gender inequality along its implementation and operationalization.

South-South and Triangular Cooperation (SSTrC): Uzbekistan is a part of the region, Central Asia, in which the countries face multiple risks related to energy and climate change. Although climate change will affect countries to varying degrees, the entire region will be affected by long-term trends such as increasing scarcity of fresh water and increasing frequency and intensity of climate-induced disasters. NAP will serve as platform for other CA countries to exchange experience in expertise on how to address the current barriers to prioritize national investment in climate change adaptation (CCA), and to increase the availability of finance for the implementation of the priority actions identified in the national strategic frameworks that will also promote and enable the CA regional cooperation related to climate change and climate risks, including the Aral Sea disaster zone.

#### Sustainability and Scaling Up:

The key elements of NAP, which shall ensure the project's sustainability beyond international support are as follows: a) **Improved synergies and coordination are required** at the different levels of the economy, and horizontally, between the sectors affected by climate change, to reduce duplication of effort, pool scarce resources for effective use, and ensure a more coherent and comprehensive approach to integration of CCA responses into development planning; b) **Strengthened institutional, functional and technical capacities to plan for CCA** and improve the existing climate-related knowledge and evidence base to support more comprehensive and holistic assessment of climate risks, vulnerabilities and impacts; and c) **Strengthened monitoring capacity** to ensure that knowledge and experiences gained during the implementation of adaptation activities (NAP) are effectively integrated into national and sectorial planning and management. Strengthening feedback mechanisms ensures that there is concurrency in the country's approach to addressing the climate related challenges it faces.

The potential to scale up the project is incorporated into the project design. Beyond the direct project replication measures, the potential is large - not just in Uzbekistan but also in the development of designs and best-practice financing mechanisms that could be used in neighbouring countries.

The Inter-Agency Working Group (IAWG), responsible for coordinating Uzbekistan's adaptation planning process (and this project in particular) will be established through a government resolution as per government's modus operandi for development projects and programmes. Since Uzhydromet, as the custodian of government's climate related developmental activities, will co-chair the IAWG with MIFT (DNA), members of the group will be for the most part the same as any other climate related programmes

and projects, and will include a wide range of stakeholders, including representatives of non-governmental organizations, civil society (including women's organizations, youth organizations, etc), private sector, development partners. Consultations and validations throughout this project and future adaptation planning interventions will ensure IAWG, and therefore an inclusive participation.

Key members of the GCF Readiness Programme's IAWG (*the composition of the NAP IAWG is expected to be similar*):

1. Deputy Minister of Investments and Foreign Trade (NDA), who co chairs the IAWG
2. General Director of the Uzhydromet under the Cabinet of Ministers, who co-chairs the IAWG
3. Deputy Minister responsible for of Agriculture and Water Resources Sector Development, Ministry of Economy and Industry
4. Deputy Minister responsible for sectoral planning and budgeting, Ministry of Finance
5. Head of Department, Ministry of Foreign Affairs
6. Deputy Minister, Ministry of Agriculture
7. Deputy Minister, Ministry of Water Resources
8. Deputy Minister, Ministry of Emergency Situations
9. Deputy Minister, Ministry of Energy
10. Deputy Minister, Ministry of Construction
11. Deputy Minister, Ministry of Health
12. Deputy Chairman, State Committee for Ecology and Environment Protection
13. Deputy Chair, State Committee for Statistics
14. Chairman of Council, EcoForum of Uzbekistan
15. Director of Center of Energy Efficient Technologies and Renewables
16. Chairman of Association of Alternative Energy and Fuel Producers in Uzbekistan
17. Leader of Khorezm Rural Advisory Support Service (KRASS)
18. Chairman of Water User Association in Bukhara
19. Chairman of Council of Farmers, Dekhans and Rural Households in Karakalpakstan
20. Head of Ecological Movement of Uzbekistan
21. Leader of Business Women Association of Uzbekistan "Tadbirkor Ayol"
22. Head of Unit on Monitoring of Transboundary Environmental Pollutions, Uzhydromet, and Secretary of the IAWG

The formulation of the IAWG composition and its tasks is discussed (at the Local Project Appraisal Committee (LPAC)) during the inception meeting and reflected in its minutes that is followed by submission of a request to consideration/approval by the cabinet of Ministries by the national partner Agency (Uzhydromet). The Terms of Reference (TORs), duration, monitoring/reporting to the government, as well as 'exit' strategy is discussed in a highly participatory manner. Once the IAWG is adopted, UNDP is officially notified by the Government.

The IAWG for the proposed NAP project will include SCEEP, Uzhydromet, Ministry of Finance, Economy, Agriculture, Water Resources, Health, Emergency Situations and Housing as well as representatives of provincial governments of Karakalpakstan, Bukhara and Khorezm, research institutions, private sector, NGOs, local communities and technical and financial partners. Once formed, the IAWG does provide for some flexibility in inclusion of new members to ensure efficient implementation of the project. This is also in line with UNDP's approach to adaptive management in all projects implemented in the country. As majority of the members of the IAWG for the NAP project will be the same as for the Readiness project, continuity and synergies between the two projects will be assured.

IAWG further supports the project with an 'exit' strategy ensuring that all project outputs are owned by the relevant stakeholders (institutionally) for further dissemination and scaling-up, and project achievements and lessons learned are codified and widely shared. Uzhydromet leads this through implementation of the national policy in the area of climate change.

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## **V. PROJECT MANAGEMENT**

### Project management:

The project will be implemented following UNDP's Direct Implementation Modality (DIM), according to the Readiness and Preparatory Support Grant Framework Agreement between UNDP and the GCF.

Upon the request of the Government of Uzbekistan, UNDP will serve as the Implementing Partner (IP) for this project. UNDP's services will be provided by staff in the UNDP Country Office (Tashkent), UNDP Regional Centre for Europe and CIS (Istanbul, Turkey), and UNDP Headquarters (New York).

UNDP will be responsible for administering resources in accordance with the specific objectives defined in the Project Document, and in keeping with its key principles of transparency, competitiveness, efficiency, and economy. The financial management and accountability for the resources allocated, as well as other activities related to the execution of project activities, will be undertaken under the supervision of the UNDP Country Office (UNDP CO) with the UNDP's Regional Technical Advisor in Istanbul. UNDP will provide support to the Project Manager in order to maximize its reach and impact as well as for the delivery of quality products. UNDP will undertake the internal monitoring of the project and of evaluation activities, taking into account from the outset local capacities for administering the project, capacity limitations and requirements, as well as the effectiveness and efficiency of communications between all institutions that are relevant to the project.

UNDP will be fully accountable for the effective implementation of this project. As the Implementing Partner, UNDP is responsible for providing a number of key general management and specialized technical support services. These services are provided through UNDP's global network of country, regional, and headquarters offices and units and include assistance in project formulation and appraisal; determination of execution modality and local capacity assessment; briefing and de-briefing of project staff and consultants; general oversight and monitoring, including participation in project reviews; receipt, allocation, and reporting to the donor of financial resources; thematic and technical backstopping; provision of systems, IT infrastructure, branding, and knowledge transfer; research and development; participation in policy negotiations; policy advisory services; programme identification and development; identifying, accessing, combining and sequencing financing; troubleshooting; identification and consolidation of learning; and training and capacity building.

**The Project Management Unit** will be based in the Uzhydromet office in Tashkent and will carry out project implementation, with the support of a Financial and Administrative Assistant. The management arrangements for this project are summarized in section VIII below.

A technical team led by the Project Manager (national profile) will coordinate the overall project implementation and will be supported by international and national consultants, government officials and support staff to carry out the day-to-day management of the project, under the direct supervision of the Country Director and in close collaboration with UNDP partners and program specialists. His/her function will end when the final project terminal evaluation report and other documentation required by the GCF and UNDP has been completed and submitted to UNDP. He/she is responsible for day-to-day management and decision-making for the project. His/her prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. Project team will be comprised of core staff: Project Administrative/Financial Assistant, National Technical Adviser and Financing Specialist who will support PM in relevant CCA thematic project activities based on their sound professional expertise, and project driver. He/she will be supported by an administrative and a financial assistant for operational aspects of the project. The Project will also use any expertise (national or international) useful for the effectiveness of the actions to be undertaken.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: To accord proper acknowledgement to the GCF for providing grant funding, the GCF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GCF will also accord proper acknowledgement to the GCF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy<sup>28</sup> and the relevant GCF policy.

Disclosure of information: Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy<sup>29</sup> and the GCF Disclosure Policy<sup>30</sup>.

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<sup>28</sup> See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

<sup>29</sup> See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

<sup>30</sup> See [https://www.greenclimate.fund/documents/20182/184476/GCF\\_B.12\\_24\\_-\\_Comprehensive\\_Information\\_Disclosure\\_Policy\\_of\\_the\\_Fund.pdf/f551e954-baa9-4e0d-bec7-352194b49bcb](https://www.greenclimate.fund/documents/20182/184476/GCF_B.12_24_-_Comprehensive_Information_Disclosure_Policy_of_the_Fund.pdf/f551e954-baa9-4e0d-bec7-352194b49bcb)

## VI. PROJECT RESULTS FRAMEWORK

As per section VII below, the Project Board will review and agree on the results framework and finalize the indicators, means of verification and monitoring plan during the inception workshop and in line with the GCF interim report format (Annex H)

OUTCOMES	BASELINE	TARGET	ACTIVITIES Please including key outputs or deliverables where applicable
<b>1. The coordination mechanism for multi-sectoral adaptation planning and implementation at different levels is strengthened</b>			
<p>1.1 Capacities of Uzhydromet, NDA and sectoral partners to steer the climate change coordination and integration process are strengthened and adaptation framework initiated</p>	<p><i>Lack of steering committee to guide adaptation in country</i></p> <p><i>Lack of framework to govern climate change</i></p> <p><i>No in-depth capacity assessment for CCA integration</i></p>	<p><i>A participatory, inter-agency working group on adaptation set up</i></p> <p><i>Preparation of framework on adaptation to climate change initiated</i></p> <p><i>Capacities for adaptation planning in up to 10 institutions assessed, and staff trained</i></p>	<p>1.1.1 Establish and operationalize a gender-sensitive and participatory coordination process for climate change adaptation</p> <ul style="list-style-type: none"> <li>• An Inter-Agency Working Group on CCA is set up under Uzhydromet - composed of SCEEP, Ministry of Finance, Economy, Agriculture, Water Resources, Health, Emergency Services and Housing; including provincial representatives from Karakalpakstan, Bukhara and Khorezm, research institutions, private sector, NGOs, local communities and technical and financial partners. (months 1-3)</li> <li>• Terms of Reference for the Steering Committee (Uzhydromet) and its Inter-Agency Working Group (IAWG) developed with specific roles to guide the adaptation planning process (months 5-6)</li> <li>• Technical experts on climate change adaptation, gender, climate finance and M&amp;E are contracted to support the coordination role of Uzhydromet (months 3-5)</li> <li>• Framework for climate change adaptation of Uzbekistan is drafted (which includes an action plan to develop sectoral adaptation plans and a consolidated national adaptation plan) and validated through 5 consultation workshops (months 3-5, 1 for each sectoral plan) informed by 1.2.1</li> <li>• 15 meetings of IAWG organized (months 3-30)</li> <li>• A consultation workshop held at the end of project to validate proposal for second phase (month 30)</li> </ul> <p><b>Key deliverables:</b></p> <ul style="list-style-type: none"> <li>- <b>Inter-Agency Working Group established (by M3)</b></li> <li>- <b>A framework for adaptation drafted and validated (by M5)</b></li> <li>- <b>Terms of Reference for IAWG (by M6)</b></li> </ul> <p>1.1.2 Conduct gaps assessments focused on technical capacity related to climate change adaptation (climate change information, tools for integration, project development, gender mainstreaming, monitoring and evaluation) for key stakeholders from the Inter-Agency Working Group to improve coordination across sectors and different levels of government</p> <ul style="list-style-type: none"> <li>• In depth capacity gaps assessment at individual and institutional levels conducted via surveys, interviews and literature review and recommendations presented in form of a report (months 6-7)</li> <li>• Informed by the assessments, capacity development plan produced and validated through a workshop for IAWG member institutions, including provincial partners (months 7-8)</li> </ul> <p><b>Key deliverables :</b></p> <ul style="list-style-type: none"> <li>- <b>Capacity gaps report (by M7)</b></li> <li>- <b>Capacity development plan (by M8)</b></li> </ul>

			<p>1.1.3 Implement capacity development programme for up to 4 areas including access and use of climate information, tools for integration, prioritization, project development, gender mainstreaming, monitoring and evaluation.</p> <ul style="list-style-type: none"> <li>• Agreements signed with national training institution on specific areas of training (months 8-9)</li> <li>• Training programme implemented in up to 4 specific areas based on gaps assessments undertaken in previous activity in partnership with the national training institution, supported by international experts (months 9-24) <ul style="list-style-type: none"> <li>- Training programme developed (months 9-13)</li> <li>- 4 Trainings conducted (months 13-24)</li> </ul> </li> <li>• Capacity needs for additional areas are included in a second phase proposal to GCF (month 30)</li> </ul> <p><b>Key deliverables :</b></p> <ul style="list-style-type: none"> <li>- Training manuals developed (by M13)</li> <li>- Trainings conducted (by M24)</li> </ul>
<p>1.2 Institutional barriers to the integration of climate change into development planning and policies are reviewed and key stakeholders are sensitized to climate change adaptation and development linkages</p>	<p><i>No existing analysis of barriers to adaptation planning</i></p> <p><i>Limited awareness and capacity on climate change at sub-national levels</i></p>	<p><i>Barriers analysed and recommendations made to inform and initiate framework on adaptation</i></p> <p><i>Outreach and advocacy plans rolled out in 3 priority provinces</i></p>	<p>1.2.1 Gap analysis conducted identifying areas of need for the framework for climate change adaptation planning, building on the government’s initiative to install state development programmes, and in line with NSSD</p> <ul style="list-style-type: none"> <li>• An institutional barrier assessment for climate change at national level, including but not limited to a review of the criteria for accessing Fund for Financing Government Development Programme, national and sectoral policies and laws, is conducted and report is validated through a consultation (months 6-7)</li> <li>• An institutional barrier and capacity needs assessment for climate change in each of 3 provinces are conducted through 3 workshops, reports with recommendations produced and validated (months 12-18)</li> <li>• Capacity needs and action plan produced and included for implementation in a second phase proposal to GCF (month 30)</li> </ul> <p><b>Key deliverables :</b></p> <ul style="list-style-type: none"> <li>- Institutional review report – national level (by M7)</li> <li>- Institutional review report – local level for 3 provinces (by M18)</li> <li>- Capacity building strategy/plan document (by M30)</li> </ul> <p>1.2.2 Outreach and advocacy to enhance awareness of provincial governments, civil society, research institutes and private sector on adaptation action conducted</p> <ul style="list-style-type: none"> <li>• National communications expert contracted (month 6)</li> <li>• A communication strategy for Uzhydromet on CCA is developed that targets key stakeholders at the national level and in the 3 priority provinces (months 6-9)</li> <li>• Outreach activities including case studies, news articles and TV/radio programmes on impacts of climate change conducted (months 10-18)</li> <li>• A review of universities and research programmes on climatology and specifically CCA is conducted and an action plan is created to strengthen availability of climate adaptation curriculum in the Uzbek language (months 6-12) <ul style="list-style-type: none"> <li>- Report detailing review of research programmes (months 6-10)</li> <li>- Development of action plan (months 10-12)</li> </ul> </li> </ul> <p><b>Key deliverables :</b></p> <ul style="list-style-type: none"> <li>- Uzhydromet communications strategy (by M9)</li> <li>- Outreach and knowledge products (by M18)</li> </ul>

			<p>- National research programmes review (by M10)</p> <p>- CCA curriculum action plan (by M12)</p>
1.3 Capacity for regularly monitoring, updating and reviewing adaptation actions is enhanced	<p>Lack of climate specific project monitoring in country</p> <p>Lack of information on effective adaptation practices</p>	<p>Climate and gender sensitive indicators developed and integrated into national database. 30-40 persons trained to report and update the database.</p> <p>Best practices consolidated and made publicly available</p>	<p>1.3.1 Identify appropriate indicators to monitor impacts of climate change adaptation interventions with focus on gender sensitive indicators, in concert with the National Project Management Agency and State Committee for Statistics and aligned with national project management system</p> <ul style="list-style-type: none"> <li>Indicators with gender-disaggregated climate data collection procedures developed (months 7-10)</li> <li>Indicators are integrated with the national project management system's database (months 10-12)</li> </ul> <p><b>Key deliverables :</b></p> <p>- M&amp;E Indicators to track CCA (by M10)</p> <p>- M&amp;E methodology (by M10)</p> <p>1.3.2 Capacity building activities conducted to expand reporting and information use for decision-making on adaptation with relevant stakeholders, including with provincial partners</p> <ul style="list-style-type: none"> <li>5 training workshops conducted (2 at national level and 1 each for the 3 priority provinces) on utilization of national database and M&amp;E of adaptation in existing projects in Uzbekistan (months 12-24)</li> </ul> <p><b>Key deliverables :</b></p> <p>- Training reports – 2 national, 1 per priority province (by M24)</p> <p>1.3.3 Document lessons learned and best practices of adaptation interventions to encourage scaling up of successful approaches</p> <ul style="list-style-type: none"> <li>Continuous compilation of lessons from adaptation measures by Uzhydromet and IAWG members (months 6-30)</li> <li>Adaptation measures and best practices shared through the national project management system (months 6-30)</li> </ul> <p><b>Key deliverables :</b></p> <p>- Analysis of CCA statistics (ongoing throughout the life of the project)</p> <p>- Compilation of best practices (ongoing throughout the life of the project)</p>
<b>2. The evidence base for adaptation planning is strengthened and adaptation prioritized into national and sectoral planning and budgeting</b>			
2.1 Climate data is consolidated for 5 priority sectors, and vulnerability assessments conducted for the health sector	<p>Scattered information on climate information and adaptation</p>	<p>Existing information reviewed, compiled and complemented with additional assessment for the health sector</p>	<p>2.1.1 Compile existing climatic information for key sectors (agriculture, water, health, emergency situations and housing)</p> <ul style="list-style-type: none"> <li>Imaging and digitizing of historic climate data on key sectors, picking up where 'Uzbekistan Climate Data Restoration' project left off (months 6-10)</li> <li>A sub-set of IAWG set up to review existing assessments (month 6)</li> <li>National experts on water, agriculture, health, disaster risk management and housing contracted to support review (months 6-7)</li> <li>Review existing climate vulnerability assessments, CCA projects and socio-economic analyses conducted for the 5 key sectors (months 6-9)</li> <li>A list of gaps and action plan to address gaps is drafted and validated through two consultations with IAWG members. Action plan to include funding strategy to finance future assessments. (month 10)</li> <li>Assessments and studies are made publicly available through Uzhydromet website (month 11)</li> </ul> <p><b>Key deliverables :</b></p> <p>- Digital record of historic climate data (by M10)</p>



			<p>- <b>Report on VA for 5 key sectors (by M9)</b>  - <b>Gaps assessment report and action plan (by M11)</b></p> <p>2.1.2 Detailed climate vulnerability assessment conducted for the health sector, as recommended in Uzbekistan’s TNC</p> <ul style="list-style-type: none"> <li>• A national firm is contracted to conduct detailed assessment of climate change and health (month 10)</li> <li>• Assessment is conducted for the health sector with particular focus on impacts of climate change on various gender group’s health in the 3 priority regions (months 10-16)</li> </ul> <p><b>Key deliverables :</b>  - <b>Vulnerability assessment report on health and CC (by M16)</b></p>
2.2 System for economic analysis and appraisal of priority adaptation options is strengthened	<i>Economic appraisals and analyses conducted on ad-hoc basis</i>	<i>Economic analysis system strengthened to appraise adaptation options and stakeholders trained on their application</i>	<p>2.2.1 Strengthen the system to appraise individual adaptation options, including cost and benefits for unintended impacts of adaptation measures in Uzbekistan, in collaboration with Ministry of Finance</p> <ul style="list-style-type: none"> <li>• A sub-set of the IAWG set up to appraise CCA investments that meets on demand and includes in particular members from the Ministry of Finance and Economy as well as 5 priority sector representatives (months 6-7)</li> <li>• CBA, CEA, MCA (and/or other tools) guide for adaptation projects and programmes identified, adapted and adopted through a consultation workshop (months 8-11)</li> <li>• Guidelines for integration into policies and prioritization in the priority sectors are developed (months 11-13)</li> <li>• 6 Trainings on the use and application of prioritization tools conducted (1 per sector and 1 with national stakeholder -Uzhydromet, Finance and Economy) for relevant stakeholders (months 14-16)</li> </ul> <p><b>Key deliverables :</b>  - <b>Appraisal/prioritization methodology and tools (by M11)</b>  - <b>Guidelines for CCA integration (by M13)</b>  - <b>Training reports on appraisal/prioritization (by M16)</b></p>
2.3 CCA priority interventions are integrated into national and sectoral planning and budgeting	<i>Adaptation priorities not integrated into sectoral plans and budgets</i>	<i>CCA priorities integrated into sectoral plans and ‘open budget’</i>	<p>2.3.1 Align CCA and development priorities and ensure integration with sectoral and provincial plans, to coincide with the government’s introduction of state development programme, sectoral plans Citizen’s budget and “open budget”</p> <ul style="list-style-type: none"> <li>• CCA indicators (1.3.1) are aligned to the NSSD, NDC and SDG indicators through 3 consultative workshops (months 12-16)</li> <li>• Adaptation actions in the 5 key sectors are prioritized and using the tools and guidelines from 2.2.1 and validated through a workshop per sector (months 16-20)</li> <li>• Adaptation priorities in the key sectors, informed by 2.1.1 and 2.1.2, are proposed for inclusion in the sector plans for inclusion in the state development programme, Citizen’s budget and “open budget” (months 20-24)</li> </ul> <p><b>Key deliverables :</b>  - <b>Key sector priority adaptation actions (report) (by M20)</b>  - <b>Recommendation for CCA inclusion in Citizen’s budget, and state development plans (by M24)</b></p>
<b>3 Adaptation financing and investment strategy for Uzbekistan is developed</b>			
3.1 A NAP Financing and Investment Strategy on initial priority sectors considering specific impacts and	<i>Lack of financing strategy to</i>	<i>Financing strategy developed,</i>	<p>3.1.1 Develop a NAP financing and investment strategy through consultative process with public and private sector, vulnerable communities, in collaboration with the GCF Readiness Programme</p> <ul style="list-style-type: none"> <li>• National economist contracted to support 3.1.1 (month 21)</li> </ul>

vulnerabilities is developed through consultative process with equal representation of women	<i>support adaptation in medium-to long-term</i>	<i>and additional sources of financing identified</i>	<ul style="list-style-type: none"> <li>• Determine the long term financial needs to support adaptation planning in Uzbekistan, via survey, analyses of budget, costing exercises, etc., based on adaptation plans developed in 2.3.1 (month 21-24)</li> <li>• Informed by review from 1.2.1, and in close coordination with the Ministry of Economy, NAP financing and investment strategy developed using adaptation actions prioritized under 2.3 and validated through 5 consultation workshops with stakeholders (months 24-30)</li> <li>• Assessment report on sources of available funding from public and private sectors to meet adaptation needs produced and validated through 1 consultation event (month 30)</li> </ul> <p><b>Key deliverables :</b></p> <ul style="list-style-type: none"> <li>- <b>Assessment report on long term financial needs (by M24)</b></li> <li>- <b>NAP investment strategy (by M30)</b></li> <li>- <b>Assessment report on available funding (by M30)</b></li> </ul>
3.2 Private sector engagement in CCA is strengthened	<i>Limited or no private sector engagement in adaptation</i>	<i>Strategy to support private investments in place and consultations held</i>	<p>3.2.1 Review barriers to private sector engagement in adaptation in Uzbekistan</p> <ul style="list-style-type: none"> <li>• National private-public partnership expert contracted to support 3.2.1 (month 20)</li> <li>• Conduct surveys and consultations to identify barriers and business risks in mobilizing private sector participation in adaptation (month 20)</li> <li>• Identify incentive mechanisms and innovative solutions, including green financial products and gender focused options, to attract private sector (including farmers, homeowners, SMEs, etc) participation in adaptation through 5 consultations (2 national and 3 provincial) and prepare an action plan/report (months 20-24)</li> <li>• Action plan emanating from this activity are included in the second phase for GCF funding (month 30)</li> </ul> <p><b>Key deliverables :</b></p> <ul style="list-style-type: none"> <li>- <b>Private sector baseline analysis (by M20)</b></li> <li>- <b>Incentive tools and financial products (by M24)</b></li> <li>- <b>Action plan for private sector inclusion (by M24)</b></li> </ul>

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## VII. MONITORING AND EVALUATION (M&E) PLAN

The project results as outlined in the project results framework will be monitored and reported annually and evaluated periodically during project implementation to ensure the project effectively achieves these results.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP](#) and [UNDP Evaluation Policy](#). While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GCF-specific M&E requirements will be undertaken in accordance with relevant GCF policies.

In addition to these mandatory UNDP and GCF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Workshop Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including national/regional institutes assigned to undertake project monitoring.

### **M&E oversight and monitoring responsibilities:**

**Project Manager:** The Project Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project personnel maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Board, the UNDP Country Office and the UNDP-GEF Regional Technical Advisor of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

The Project Manager will develop annual work plans to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored bi-annually in time for evidence-based reporting in the bi-annual Project Report, and that the monitoring of risks and the various plans/strategies developed to support project implementation occur on a regular basis.

**Project Board:** The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

**UNDP Country Office:** The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key M&E activities including the Annual Project Report, and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality.

The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the [UNDP POPP](#). This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the Annual Project Report and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. Annual Project Report quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager.

The UNDP Country Office will support GCF staff (or their designate) during any missions undertaken in the country, and support any ad-hoc checks or ex post evaluations that may be required by the GCF.

The UNDP Country Office will retain all project records for this project for up to seven years after project financial closure in order to support any ex-post reviews and evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GCF.

**UNDP-Global Environmental Finance Unit (UNDP-GEF):** Additional M&E and implementation oversight, quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

**Audit:** The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on DIM implemented projects.<sup>31</sup> Additional audits may be undertaken at the request of the GCF.

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<sup>31</sup> See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

### **Additional GCF monitoring and reporting requirements:**

Inception Workshop and Report: A project inception workshop will:

- a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
- b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
- d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E;
- e) Identify how project M&E can support national monitoring of SDG indicators as relevant;
- f) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender action plan; and other relevant strategies;
- g) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
- h) Plan and schedule Project Board meetings and finalize the first year annual work plan.

The inception report must be submitted to the GCF within six months of project start. The Project Manager will prepare the inception workshop report no later than one month after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the Project Board.

GCF Bi-Annual Project Report (due June and December each year of project implementation): The Project Manager, the UNDP Country Office, and the UNDP-GEF Regional Technical Adviser will provide objective input to the bi-annual project reports covering the 6 months in the calendar year for each year of project implementation. The Project Manager will ensure that the indicators included in the project results framework are monitored annually in advance so that progress can be included in the report.

The Bi-Annual Project Report will also be shared with the Project Board. The UNDP Country Office will coordinate the inputs of other stakeholders to the report as appropriate. The quality rating of the previous year's report will be used to inform the preparation of the subsequent report.

Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

Final Independent Evaluation Report: A final independent evaluation report will be completed by 30 April 2022. The final evaluation will take place upon completion of all major project outputs and activities. The final evaluation process will begin at least three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The Final Independent Evaluation report is due for submission to the GCF within 6 months after the project completion date.

The Project Manager will remain on contract until the final evaluation report and management response have been finalized. The terms of reference, the evaluation process and the final evaluation report will follow the standard templates and guidance prepared by the UNDP IEO available on the [UNDP Evaluation Resource Center](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired, using project funds, to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Additional quality assurance support is available from the UNDP-GEF Directorate. The final evaluation report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board. The final evaluation report will be publicly available in English on the UNDP ERC.

The UNDP Country Office will include the planned project evaluations in the UNDP Country Office evaluation plan, and will upload the evaluation reports in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC).

Final Report: A final project report will be prepared following the template provided by the GCF.

**Mandatory GCF M&E Requirements and M&E Budget:**

GCF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>32</sup> (US\$)		Time frame
		GCF grant	Co-financing	
<b>Inception Workshop</b>	UNDP Country Office	USD 11,000	<i>USD5,000</i>	Within first two months of project start up
<b>Inception Report</b>	Project Manager	USD 5,000	None	Immediately following IW
<b>Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP</b>	UNDP Country Office	None	None	Quarterly, annually
<b>Risk Management</b>	Project Manager Country Office	None	None	Quarterly, annually
<b>Monitoring of indicators in project results framework (including hiring of external experts, project surveys, data analysis etc...)</b>	Project Manager	Per year: USD 10,000	<i>USD5,000</i>	Annually
<b>GCF Bi-Annual Project Report</b>	Project Manager and UNDP Country Office and UNDP-GEF Unit	None	None	Annually
<b>DIM Audit as per UNDP audit policies</b>	UNDP Country Office	Per year: USD 3,000 – 5,000	<i>USD3,000</i>	Annually or other frequency as per UNDP Audit policies
<b>Lessons learned, case studies, and knowledge generation</b>	Project Manager	Per year: USD5,000	<i>USD 3,000</i>	Annually
<b>Monitoring of environmental and social risks, and corresponding management plans as relevant</b>	Project Manager UNDP CO	Per year: USD3,000	<i>USD2,000</i>	On-going
<b>Project Board meetings</b>	Project Board UNDP Country Office Project Manager	Per year: USD10,000	<i>USD5,000</i>	At minimum annually
<b>Supervision missions</b>	UNDP Country Office	None <sup>33</sup>	<i>USD1,000</i>	Two per year (as per agreed workplan)
<b>Oversight missions</b>	UNDP-GEF Unit	None <sup>33</sup>	<i>USD1,000</i>	Troubleshooting as needed
<b>GCF learning missions/site visits</b>	UNDP Country Office and Project Manager and UNDP-GEF Unit	<i>USD10,000</i>	<i>USD5,000</i>	To be determined.

<sup>32</sup> Excluding project team staff time and UNDP staff time and travel expenses.

<sup>33</sup> The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GCF Agency Fee.

GCF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>32</sup> (US\$)		Time frame
		GCF grant	Co-financing	
<b>Final independent evaluation and management response</b>	UNDP Country Office and Project team and UNDP-GEF Unit	USD25,000	<i>USD3,000</i>	At least 3 months before the end of project implementation (by 30 April 2022)
<b>Translation of evaluation reports into English</b>	UNDP Country Office	USD4,000	USD2,000	As required. GCF will only accept reports in English.
<b>TOTAL indicative COST</b> Excluding project team staff time, and UNDP staff and travel expenses		<i>USD137,500</i>	<i>USD35,000</i>	

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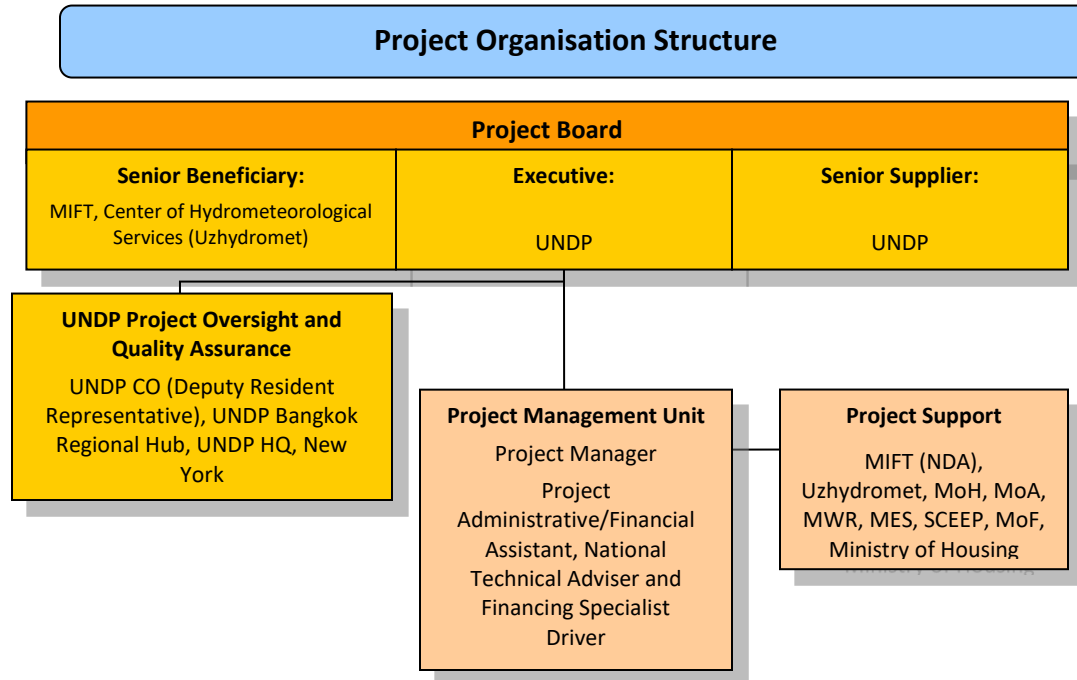
## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources. The Implementing Partner is responsible for:

- Approving and signing the multiyear workplan;
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures

Roles and responsibilities of the project's governance mechanism: The project will be implemented following UNDP's direct implementation modality, according to the Readiness and Preparatory Support Grant Agreement between the GCF and UNDP.

The project organisation structure- is as follows:



**Project Board:** The Project Board (also called Project Steering Committee, and comprised of Uzhydromet, NDA (MIFT) and UNDP) is responsible for making by consensus, management decisions when guidance is required by the Project Manager, including recommendations for UNDP/Implementing Partner approval of project plans and revisions, and addressing any project level grievances. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. As such, while UNDP assumes ultimate management responsibility and accountability for all of the project implementation, i.e. delivering all activities to reach the expected outputs of the approved project, this accountability only extends to the execution of approved activities and budget resources under the project (as approved by the NDA). UNDP's final vote is to ensure fiduciary compliance only when consensus agreement cannot be reached by the Board. The Project Board will meet at least once a year.

Specific responsibilities of the Project Board include:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the project manager;
- Provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks;
- Agree on project manager's tolerances as required;
- Review the project progress, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Appraise the annual project implementation report, including the quality assessment rating report; make recommendations for the workplan;
- Provide ad hoc direction and advice for exceptional situations when the project manager's tolerances are exceeded; and
- Assess and decide to proceed on project changes through appropriate revisions.

The composition of the Project Board must include the following roles:

**Executive:** The Executive is an individual who represents ownership of the project who will chair the Project Board. This role can be held by a representative from the Government Cooperating Agency or UNDP. The Executive for this project is UNDP.

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The executive has to ensure that the project gives value for money, ensuring cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Specific Responsibilities: (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organisation structure and logical set of plans;
- Set tolerances in the AWP and other plans as required for the Project Manager;
- Monitor and control the progress of the project at a strategic level;
- Ensure that risks are being tracked and mitigated as effectively as possible;
- Brief relevant stakeholders about project progress;
- Organise and chair Project Board meetings.

**Senior Supplier:** The Senior Supplier is an individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role. The Senior Supplier for this project is UNDP.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Make sure that progress towards the outputs remains consistent from the supplier perspective;
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management;
- Ensure that the supplier resources required for the project are made available;
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts.

**Senior Beneficiary:** The Senior Beneficiary is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. The Senior Beneficiary role is held by a representative of the government or civil society. The Senior Beneficiaries of this project are Uzhydromet and MIFT.

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness, the role should not be split between too many people.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Prioritize and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Specification of the Beneficiary's needs is accurate, complete and unambiguous;
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
- Impact of potential changes is evaluated from the beneficiary point of view;
- Risks to the beneficiaries are frequently monitored.

**Project Manager:** The Project Manager (national profile) has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

The Implementing Partner contracts the Project Manager, who should be different from the Implementing Partner's representative in the Project Board.

Specific responsibilities include:

- Provide direction and guidance to project team(s)/ responsible party (ies);
- Liaise with the Project Board to assure the overall direction and integrity of the project;
- Identify and obtain any support and advice required for the management, planning and control of the project;
- Responsible for project administration;
- Plan the activities of the project and monitor progress against the project results framework and the approved annual workplan;
- Mobilize personnel, goods and services, training and micro-capital grants to initiative activities, including drafting terms of reference and work specifications, and overseeing all contractors' work;



- Monitor events as determined in the project monitoring schedule plan/timetable, and update the plan as required;
- Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments or reimbursement using the fund authorization and certificate of expenditures;
- Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports;
- Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis;
- Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
- Capture lessons learned during project implementation;
- Prepare the annual workplan for the following year; and update the Atlas Project Management module if external access is made available.
- Prepare the Annual Project Report and submit the final report to the Project Board;
- Based on the Annual Project Report and the Project Board review, prepare the AWP for the following year.
- Identify follow-on actions and submit them for consideration to the Project Board;
- Ensure the terminal evaluation process is undertaken as per the UNDP guidance, and submit the final TE report to the Project Board;

**Project Assurance:** UNDP provides a three – tier supervision, oversight and quality assurance role – funded by the agency fee – involving UNDP staff in Country Offices and at regional and headquarters levels. Project Assurance must be totally independent of the Project Management function. The quality assurance role supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. This project oversight and quality assurance role is covered by the accredited entity fee provided by the GCF.

UNDP has been selected by the Government to act as the Delivery Partner for this NAP project. UNDP delivers the following GCF-specific oversight and quality assurance services: (i) day to day project oversight supervision covering the start-up and implementation; (ii) oversight of project completion; and (iii) oversight of project reporting. A detailed list of the services is presented in the table below.

Function	Detailed description of activity	Typical GCF fee breakdown
Day-to-day oversight supervision	<p><b>1. Project start-up:</b></p> <ul style="list-style-type: none"> <li>• In the case of readiness proposals, if needed assist the NDA and/or government partners prepare all the necessary documentation for approval of a readiness grant proposal</li> <li>• Prepare the Project Document with the government counterparts</li> <li>• Technical and financial clearance for the Project Document</li> <li>• Organize Local Project Appraisal Committee</li> <li>• Project document signature</li> <li>• Ensure quick project start and first disbursement</li> <li>• Hire project management unit staff</li> <li>• Coordinate/prepare the project inception workshop</li> <li>• Oversee finalization of the project inception workshop report</li> </ul> <p><b>2. Project implementation:</b></p> <ul style="list-style-type: none"> <li>• <u>Project Board</u>: Coordinate/prepare/attend annual Project Board Meetings</li> <li>• <u>Annual work plans</u>: Quality assurance of annual work plans prepared by the project team; issue UNDP annual work plan; strict monitoring of the implementation of the work plan and the project timetable according to the approved readiness proposal</li> <li>• <u>Prepare GCF/UNDP annual project report</u>: review input provided by Project Manager/team; provide specialized technical support and complete required sections</li> <li>• <u>Portfolio Report (readiness)</u>: Prepare and review a Portfolio Report of all readiness activities done by UNDP in line with Clause 9.02 of the Readiness Framework Agreement.</li> <li>• <u>Procurement plan</u>: Monitor the implementation of the project procurement plan</li> </ul>	70%

Function	Detailed description of activity	Typical GCF fee breakdown
	<ul style="list-style-type: none"> <li>• <u>Supervision missions</u>: Participate in and support in-country GCF visits/learning mission/site visits; conduct annual supervision/oversight site missions</li> <li>• <u>Risk management and troubleshooting</u>: Ensure that risks are properly managed, and that the risk log in Atlas (UNDP financial management system) is regularly updated; Troubleshooting project missions from the regional technical advisors or management and programme support unit staff as and when necessary (i.e. high risk, slow performing projects)</li> <li>• <u>Project budget</u>: Provide quality assurance of project budget and financial transactions according to UNDP and GCF policies</li> <li>• <u>Performance management of staff</u>: where UNDP supervises or co-supervises project staff</li> <li>• <u>Corporate level policy functions</u>: Overall fiduciary and financial policies, accountability and oversight; Treasury Functions including banking information and arrangements and cash management; Travel services, asset management, and procurement policies and support; Management and oversight of the audit exercise for all GCF projects; Information Systems and Technology provision, maintenance and support; Legal advice and contracting/procurement support policy advice; Strategic Human Resources Management and related entitlement administration; Office of Audit and Investigations oversight/investigations into allegations of misconduct, corruption, wrongdoing and fraud; and social and environmental compliance unit and grievance mechanism.</li> </ul>	
<b>Oversight of project completion</b>	<ul style="list-style-type: none"> <li>• Initiate, coordinate, finalize the Project Completion Report, Final Independent Evaluation Report and management response</li> <li>• Quality assurance of final evaluation report and management response</li> <li>• Independent Evaluation Office assessment of final evaluation reports; evaluation guidance and standard setting</li> <li>• Quality assurance of final cumulative budget implementation and reporting to the GCF</li> <li>• Return of any un-spent GCF resources to the GCF</li> </ul>	10%
<b>Oversight of project reporting</b>	<ul style="list-style-type: none"> <li>• Technical review of project reports: quality assurance and technical inputs in relevant project reports</li> <li>• Quality assurance of the GCF annual project report</li> <li>• Preparation and certification of UNDP annual financial statements and donor reports</li> <li>• Prepare and submit fund specific financial reports</li> </ul>	20%
	<b>TOTAL</b>	<b>100%</b>

**Governance role for project target groups:**

Local stakeholders and community members have a key role in the implementation and monitoring of the project. During the inception phase of the project, the NDA-GCF, Uzhydromet working together with UNDP, will consult with all stakeholders, including vulnerable community members, NGOs, Community Based Organization, civil society, women organizations, etc., to facilitate an understanding of the roles, functions, and responsibilities within the Project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The project Logic Framework (indicators, means of verification, assumptions) will be reviewed and the quarterly and annual plans will be refined engaging the communities from the targeted counties. The stakeholders will also be engaged during the mid-term and final evaluations to assess the progress of the project and enable adaptive project management in response to the needs and priorities of the communities.

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## IX. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is *USD 1,611,944*. This is financed through a GCF grant of *USD 1,611,944*. UNDP, as the GCF Accredited Agency, is responsible for the oversight and quality assurance of the execution of GCF resources and the cash co-financing transferred to UNDP bank account only.

GCF Disbursement schedule: Disbursement request will be managed at portfolio level by UNDP-GEF MPSU in NY, as agreed in the "Framework Readiness and Preparatory Support Grant Agreement" between GCF and UNDP. Under Clause 4 of said Framework Agreement, "the Delivery Partner shall be entitled to submit two Requests for Disbursement each year. Each such Request for Disbursement must be submitted to the Fund within 30 days of receipt by the Fund of the Portfolio Report referred to in Section 9.02.

GCF disbursement request for this proposal will only be submitted upon execution and effectiveness of a second amendment to the Framework Readiness and Preparatory Support Grant Agreement between UNDP and the GCF.

Budget Revision and Tolerance: 10% of the total overall projected costs can be reallocated among the budget account categories within the same project output. Any budget reallocation involving a major change in the project's scope, structure, design or objectives or any other change that substantially alters the purpose or benefit of the project requires the GCF's prior written consent.

As outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board (within the GCF requirements noted above). Should such deviation occur, the Project Manager and UNDP Country office will seek the approval of the UNDP-GEF Unit.

Any over expenditure incurred beyond the available GCF grant amount will be absorbed by non-GCF resources (e.g. UNDP TRAC or cash co-financing).

Refund to GCF: Unspent GCF resources must be returned to the GCF. Should a refund of unspent funds to the GCF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.<sup>34</sup> On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-Global Environmental Finance Executive Coordinator.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Final Independent Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed.

Transfer or disposal of assets: In consultation with the Partners and other parties of the project, UNDP programme manager (UNDP Resident Representative) is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file<sup>35</sup>.

Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) UNDP has closed the accounts for the project; c) UNDP has certified a final Combined Delivery Report (which serves as final budget revision).

The project is required to be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the UNDP CO will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final

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<sup>34</sup> see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>

<sup>35</sup> See [https://popp.undp.org/\\_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP\\_POPP\\_DOCUMENT\\_LIBRARY/Public/PPM\\_Project%20Management\\_Closing.docx&action=default](https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default).

cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

## X. TOTAL BUDGET AND WORK PLAN

**Guidance to project developer:** This table must be completed using a separate excel file and then be copied here. All sub-totals and totals must tally. All figures must be “numeric value”, not “text”. The TBWP will look like the table below. Ensure all budget notes included in the excel file.

<b>Atlas Proposal or Award ID:</b>		00104259			<b>Atlas Primary Output or Project ID:</b>			00105927		
<b>Atlas Proposal or Award Title:</b>		Sector driven National Adaptation Plan (NAP) to advance medium- and long-term adaptation planning in Uzbekistan								
<b>Atlas Business Unit:</b>		UZB10								
<b>UNDP GEF PIMS NO:</b>		5977								
<b>GCF Readiness Outcome</b>	<b>Impl. Agency</b>	<b>Fund ID</b>	<b>Donor Name</b>	<b>ATLAS Budgetary Account Code</b>	<b>ATLAS Budget Description</b>	<b>Amount US\$ Year 1</b>	<b>Amount US\$ Year 2</b>	<b>Amount US\$ Year 3</b>	<b>Total Amount US\$</b>	<b>Budget note</b>
<b>Outcome 1: The coordination mechanism for multi-sectoral adaptation planning at different levels is strengthened</b>	UNDP	66001	12526	71200	International consultants	23,333	23,333	31,667	78,333	1
				71300	Local consultants	40,000	46,000	33,000	119,000	2
				71600	Travel	30,000	34,876	15,000	79,876	3
				75700	Training, Workshop & Conferences	60,000	50,000	30,000	140,000	4
				74200	Audio Visual & Print Production Costs	20,000	35,000	25,000	80,000	5
				72800	IT Equipment	7,000	3,500	0	10,500	6
				72100	Contractual Services - Companies	40,000	40,000	20,000	100,000	7
				71400	Contractual Services - Individuals	22,169	22,169	11,084	55,422	8
				60000	Staff costs	8,333	8,334	4,167	20,834	26
				74500	Miscellaneous	1,000	1,000	1,000	3,000	9
<b>TOTAL OUTCOME 1</b>						<b>251,835</b>	<b>264,212</b>	<b>170,918</b>	<b>686,965</b>	
<b>Outcome 2: The evidence base for adaptation planning is strengthened and adaptation prioritized into national and sectoral planning and budgeting</b>	UNDP	66001	12526	71200	International consultants	23,333	23,333	21,667	68,333	10
				71300	Local consultants	60,000	30,000	22,000	112,000	11
				71600	Travel	20,000	24,200	0	44,200	12
				75700	Training, Workshop & Conferences	25,000	45,000	4,500	74,500	13
				74200	Audio Visual & Print Production Costs	15,000	20,000	10,000	45,000	14

				<b>72100</b>	Contractual Services - Companies	60,000	40,000	0	100,000	15
				<b>71400</b>	Contractual Services - Individuals	22,169	22,169	11,084	55,422	8
				<b>60000</b>	Staff costs	8,333	8,334	4,167	20,834	26
				<b>74500</b>	Miscellaneous	1,000	1,000	1,000	3,000	9
<b>TOTAL OUTCOME 2</b>						<b>234,835</b>	<b>214,036</b>	<b>74,418</b>	<b>523,289</b>	
<b>Outcome 3: Adaptation financing and investment strategy for Uzbekistan is developed</b>	UNDP	66001	12526	<b>71200</b>	International consultants	3,334	23,334	21,667	48,335	16
				<b>71300</b>	Local consultants	0	35,000	17,000	52,000	17
				<b>71600</b>	Travel	0	22,000	9,920	31,920	18
				<b>75700</b>	Training, Workshop & Conferences	0	35,000	13,500	48,500	19
				<b>74200</b>	Audio Visual & Print Production Costs	0	20,000	10,000	30,000	20
				<b>71400</b>	Contractual Services - Individuals	22,169	22,169	11,084	55,422	8
				<b>60000</b>	Staff costs	8,333	8,334	4,167	20,834	26
				<b>74500</b>	Miscellaneous	1,000	1,000	1,000	3,000	9
<b>TOTAL OUTCOME 3</b>						<b>34,836</b>	<b>166,837</b>	<b>88,338</b>	<b>290,011</b>	
<b>TOTAL OPERATIONAL COSTS (OUTCOMES 1+2+3)</b>						<b>521,506</b>	<b>645,084</b>	<b>333,674</b>	<b>1,500,264</b>	
<b>Total Project Management Cost</b>	UNDP	66001	12526	<b>71400</b>	Contractual Services - Individuals	29,772	29,772	14,886	74,430	21
				<b>71600</b>	Travel	2,000	2,000	500	4,500	22
				<b>74100</b>	Professional Services - Audit	3,000	3,000	1,500	7,500	23
				<b>72800</b>	IT Equipment	3,000	3,000	0	6,000	24
				<b>64397</b>	Services to Projects	6,000	6,000	6,000	18,000	27
				<b>72500</b>	Supplies	500	500	250	1,250	25
<b>TOTAL PROJECT MANAGEMENT COSTS</b>						<b>44,272</b>	<b>44,272</b>	<b>23,136</b>	<b>111,680</b>	
<b>TOTAL PROJECT COST</b>						<b>565,778</b>	<b>689,356</b>	<b>356,810</b>	<b>1,611,944</b>	

Budget notes	
1	<p>1 international climate policy expert to support capacity gaps and institutional barrier assessments (1.1.2, 1.1.3 and 1.2.1) 40 days @ US\$500/day</p> <p>1 international M&amp;E Expert to help strengthen CCA monitoring/develop indicators (1.3.1 and 1.3.2) 40 days @ US\$500/day</p> <p>1 international training and pedagogical design expert to assist development of training materials (1.1.2) and assist in development of action plan for climatology curriculum (1.2.2) 40 days @ US\$500/day</p> <p>1 International capacity development expert @ approx. \$10000/year, distributed throughout the 3 outcomes</p> <p>1 International project evaluation expert for terminal evaluation 20 days @ US\$500/day</p>
2	<p>1 national expert on climate adaptation to support coordination role of Uzhydromet 130 days over 30 months @ US\$200/day</p> <p>1 national climate &amp; gender expert to support coordination role of Uzhydromet 130 days over 30 months @ US\$200/day</p> <p>1 national climate finance expert to support coordination role of Uzhydromet - 130 days over 30 months @ US\$200/day</p> <p>1 national M&amp;E expert to support coordination role of Uzhydromet - 130 days over 30 months @ US\$200/day</p> <p><i>National experts will provide support towards all activities from 1.1.1 to 1.3.3</i></p> <p>1 national communications expert to support development of communications strategy (1.2.2) - 75 days @ US\$200/day</p>
3	<p>Travel &amp; DSA for international consultant to Tashkent 2 trips @ \$1500/tkt, 28 days DSA @ US\$182 (1.1.2, 1.1.3)</p> <p>Travel &amp; DSA for international consultants to Tashkent 3 trips @ \$1500/tkt, 40 days DSA @ u\$182 (1.2.1, 1.3.1, 1.3.2)</p> <p>Travel &amp; DSA for 1 international and 5 national experts to 3 regions @ ~ \$2500/region/expert, including travel and per diem for local experts (1.2.1)</p> <p>Travel &amp; DSA for 1 international and 1 national expert to 3 regions @ ~\$2500/region/expert, including travel and per diem for local expert (1.3.2)</p>
4	<p>1 inception workshop (approx. 60 participants) @\$10000</p> <p>5 consultations workshops contributing to creation of framework for adaptation (30 participants in each) @\$3500 each(1.1.1)</p> <p>15 meetings of the IAWG in Tashkent (15 participants in each) @ \$2000 each (1.1.1)</p> <p>1 workshop (30 participants) to validate capacity development plan for IAWG member institutions @\$3500 (1.1.2)</p> <p>4 trainings (40 participants in each) on selected capacity development areas @\$6000 each (1.1.3)</p> <p>1 consultation (30 participants) to assess institutional barriers @\$3500 (1.2.1)</p> <p>3 provincial level barriers assessment workshops (20 participants in each region) @\$3000 each (1.2.1)</p> <p>3 meetings/consultations coinciding with outreach in 3 provinces (20 participants in each province) @\$3000 each (1.2.2)</p> <p>5 trainings on utilization of national database and M&amp;E of adaptation (50 participants in each) @\$6000 each (1.3.2)</p> <p>1 consultation workshop to validate proposal for second phase (30 participants) @\$3500 (1.1.1)</p>
5	<p>Printing for workshops, reports and multimedia @ \$40,000</p> <p>Media production and dissemination once every 3 months through local TV and radio @ \$10,000 X 4 (1.2.2)</p>
6	<p>5 Laptops @ ~\$1,500 each, 1 printer, 1 projector and consumables to provide administrative and technical support to workshops and meetings @ ~\$3,000</p>
7	<p>A national training institution to implement capacity development programme on 4 topics (to be defined, based on gaps assessment) over 30 months (1.1.3) @ \$100,000</p>
8	<p>Service Contract for project manager @\$26,334/yr (all 3 components over 2.5 years)</p> <p>Service Contract for technical adviser @\$20,009/yr (all 3 components over 2.5 years)</p> <p>Service Contract for finance specialist @\$20,163/yr (all 3 components over 2.5 years)</p>
9	<p>Miscellaneous costs - contingency to cover transactions, bank charges, exchange losses, etc. Any use of contingency will be reported to and agreed by the GCF Secretariat in writing (email is sufficient) in advance with sufficient justifications.</p>
10	<p>1 international climate science/information expert to review existing climate assessments (2.1.1) and sectoral alignment work (2.3.1) 40 days @ US\$500/day</p> <p>1 international climate and health expert to review and guide assessment of health sector (2.1.2) 40 days @ US\$500/day</p> <p>1 international economic valuation/prioritization expert to assist appraisal and prioritization of options in 5 sectors (2.2.1) 40 days @ US\$500/day</p> <p>1 International capacity development expert distributed throughout the 3 outcomes (see budget note 1)</p>
11	<p>1 national expert on health and climate to support review of existing materials and guide detailed assessment of health sector 200 days over 24 months @ US\$200/day (2.1.1, 2.1.2)</p> <p>1 national expert on agriculture to review existing assessments of agriculture sector - 90 days @ US\$200/day (2.1.1)</p> <p>1 national expert on water to review existing assessments of water sector - 90 days @ US\$200/day (2.1.1)</p> <p>1 national expert on DRR to review existing assessments of emergency situations sector - 90 days @ US\$200/day (2.1.1)</p> <p>1 national expert on housing to review existing assessments of housing sector - 90 days @ US\$200/day (2.1.1)</p>

12	Travel & DSA for 1 international consultant to Tashkent 2 trips @ \$1500/tkt, 40 days DSA @ US\$182 (2.1.1, 2.3.1) Travel & DSA for 1 international consultant to Tashkent 1 trip @ \$1500/tkt, 30 days DSA @ US\$182 (2.2.1) Travel & DSA for 1 international consultant to Tashkent 1 trip @ \$1500/tkt, 30 days DSA @ US\$182 (2.3.1) Travel & per diem for 30 regional/provincial stakeholders to attend workshops/trainings on prioritization and 'open budget' @ ~US\$20000 (2.2.1, 2.3.1)
13	2 consultation workshop to validate gaps on evidence base (30 participants in each) @\$3500 each (2.1.1) 1 Prioritization tool validation workshop (30 participants) @\$3500 (2.2.1) 6 trainings on application of prioritization tools (50 participants in each) @\$6000 each (2.2.1) 3 national workshops on CCA indicators alignment (30 participants) @\$3500 each (2.3.1) 5 workshops in key sectors to prioritize adaptation action (30 participants in each) @\$3500 each (2.3.1)
14	Printing for workshops, reports and multimedia @ \$45,000
15	A national firm to conduct detailed vulnerability assessment of the health sector, with focus on impacts of climate change on women's health (2.1.2) @ US\$100000
16	1 international innovative financing expert to assist development of financing strategy for NAP (3.1.1) 40 days @ US\$500/day 1 international private-public partnership expert to assist private sector engagement (3.2.1) 40 days @ US\$500/day 1 International capacity development expert distributed throughout the 3 outcomes (see budget note 1)
17	1 national expert to support financial needs assessment and development of financing strategy for NAP (3.1.1) 130 days @ US\$200/day 1 national expert on PPP to assess barriers and support development of private sector engagement strategy (3.2.1) 130 days @ US\$200/day
18	Travel & DSA for 1 international consultant to Tashkent 2 trips @ \$1500/tkt, 30 days DSA @ US\$182 (3.1.1) Travel & per diem for 40 provincial stakeholders and representatives of SMEs (3.2.1) @ ~US\$15000 Travel & DSA for 1 international consultant to Tashkent 2 trips @ \$1500/tkt, 30 days DSA @ US\$182 (3.2.1)
19	5 consultations workshops to support financing strategy for NAP (20 participants in each) @\$3500 each (3.1.1) 1 consultation event to validate sources of financing (50 participants) @\$6000 (3.1.1) 5 consultations to identify innovative mechanisms to enhance private sector engagement in adaptation (40 participants in each) @\$5000 each (3.2.2)
20	Printing for workshops, reports and multimedia @ US\$ 30000
21	Service Contract for Administrative and Finance Assistant @\$17,448/yr x 2.5 years Service Contract for Driver @\$12,324/yr x 2.5 years (cost share)
22	Travel and DSA for PMU staff
23	External Project Audit - the audit firm will be hired competitively
24	4 PCs with UPS and consumables @ ~\$1,500 each for PMU staff
25	Office supplies: stationaries such as paper @4 packs per one quarter, pens at beginning and mid-point of the year, cartridge for printers twice a year, monthly payment for internet service provider for PMU staff
26	Staff for dedicated project technical support (International FTA (P4 level, cost share) @\$25000/yr split across 3 outcomes)
27	HR, procurement and financial services



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## XI. LEGAL CONTEXT

### Option a. Where the country has signed the [Standard Basic Assistance Agreement \(SBAA\)](#)

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of (country) and UNDP, signed on (date). All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by UNDP Uzbekistan (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

Any designations on maps or other references employed in this project document do not imply the expression of any opinion whatsoever on the part of UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

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## XII. RISK MANAGEMENT

### UNDP (DIM)

UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)

UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]<sup>36</sup> [UNDP funds received pursuant to the Project Document]<sup>37</sup> are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aa\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aa_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).

UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:

- a. Consistent with the Article III of the SBAA [*or the Supplemental Provisions to the Project Document*], the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP’s property in such responsible party’s, subcontractor’s and sub-recipient’s custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
  - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
  - ii. assume all risks and liabilities related to such responsible party’s, subcontractor’s and sub-recipient’s security, and the full implementation of the security plan.
- b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party’s, subcontractor’s and sub-recipient’s obligations under this Project Document.
- c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

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<sup>36</sup> To be used where UNDP is the Implementing Partner

<sup>37</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

- d. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).
- e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- f. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

- g. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

*Note:* The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

- h. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
- i. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
- j. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

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### **XIII. MANDATORY ANNEXES**

The following documents are mandatory annexes and must be included as part of the final project document package. Links can be provided to these documents if they have been posted to the UNDP GEF PIMS and [open.undp.org](http://open.undp.org).

- GCF approved Readiness and Preparatory Support proposal for Adaptation Planning/NAP
- GCF approval letter
- Timetable of project implementation (GANTT chart)
- Procurement Plan
- Terms of References for Project Board and Project Team/PMU
- UNDP Risk Log
- Additional agreements:
- UNDP Project Quality Assurance Report
- Section 2 of the GCF Readiness Support Interim Progress Report Template

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#### **XIV. OTHER ANNEXES**

- Composition and roles of members of the Inter-Agency Working Group
- Additional information for second phase of adaptation planning project for Uzbekistan
- Results from rapid capacity assessment for NAP undertaken in October 2016

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**ANNEX A: GCF APPROVED READINESS AND PREPARATORY SUPPORT PROPOSAL FOR ADAPTATION PLANNING**

Downloadable from GCF website through the following hyperlink:

[https://www.greenclimate.fund/documents/20182/466992/Readiness\\_proposals\\_-\\_Uzbekistan\\_UNDP\\_Adaptation\\_Planning.pdf/01536de4-bb71-0a02-9200-bf118320f4f4](https://www.greenclimate.fund/documents/20182/466992/Readiness_proposals_-_Uzbekistan_UNDP_Adaptation_Planning.pdf/01536de4-bb71-0a02-9200-bf118320f4f4)

## ANNEX B: GCF APPROVAL LETTER



Mr. Badriddin Abidov  
Deputy Minister  
Ministry of Investments and Foreign Trade  
1 Islam Karimov Str., Tashkent city, 100029  
Republic of Uzbekistan

### COUNTRY PROGRAMMING

Date : 1 November 2019  
Reference : DCF/2019/509  
Page : 1 of 1

**Subject: Notification of Approval on Readiness and Preparatory Support Programme Proposal for the Green Climate Fund - [Grant Reference Number UZB-RS-001]**

Dear Ms. Abidov,

I am pleased to inform you that the Green Climate Fund (GCF) Secretariat has approved the Readiness Proposal for the Republic of Uzbekistan, initially submitted on 5 July 2017. This proposal is in accordance with the terms of the Framework Readiness and Preparatory Support Grant Agreement (Framework Agreement) between the Green Climate Fund and the United Nations Development Programme (UNDP), dated 2 September 2016, and amended and restated on 6 March 2018.

The above-mentioned proposal was approved on 24 October 2019 for the amount of USD 1,748,959 for sector driven National Adaptation Plan (NAP) to advance medium- and long-term adaptation planning in Uzbekistan. A copy of the proposal is attached for your reference (Approved Proposal).

Kindly note that as of the date of this Notification the Framework Agreement between the GCF and UNDP is being amended, and that the implementation of the readiness activities under this Approved Proposal will be subject to the execution and effectiveness of the amended Framework Agreement. Once the amendment to the Framework Agreement becomes effective, UNDP can submit a request for disbursement to the Secretariat to begin the implementation of the activities under the Approved Proposal.

Please contact us if you have any other questions about your approved proposal or next steps.

Yours sincerely,

A handwritten signature in blue ink, appearing to read "Pa Ousman Jarju".

Mr. Pa Ousman Jarju  
Director

Enclosure: Readiness Proposal of the Republic of Uzbekistan

cc: Mr. Pradeep Kurukulasuriya, Executive Coordinator and Director, Global Environmental Finance, Bureau for Policy and Program Support, UNDP

Mr. Bakhiddin Nishonov, First Deputy Director General, Centre for Hydrometeorological Service of Uzbekistan

Green Climate Fund  
Songdo International Business District  
G-Tower, 175 Art Center-daero  
Yeosu-gu, Incheon 22004  
Republic of Korea

## ANNEX C: TIMETABLE OF PROJECT IMPLEMENTATION (GANTT CHART)

5.5. Project Timetable (Milestones)																																	
	Year 1												Year 2												Year 3								
	Quarter 1			Quarter 2			Quarter 3			Quarter 4			Quarter 1			Quarter 2			Quarter 3			Quarter 4			Quarter 1		Quarter 2						
	M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12	M13	M14	M15	M16	M17	M18	M19	M20	M21	M22	M23	M24	M25	M26	M27	M28	M29	M30			
<b>Outcome 1: Coordination mechanism for multi-sectoral adaptation planning and implementation at different levels is strengthened</b>																																	
<b>Suboutcome 1.1: Capacities of the NDA, Uzydromet and sectoral partners to steer the climate change coordination and integration process are strengthened</b>																																	
Activity 1.1.1																																	
Activity 1.1.2																																	
Activity 1.1.3																																	
<b>Suboutcome 1.2: Institutional barriers to the integration of climate change into development planning and policies are reviewed and key stakeholders are sensitized to climate</b>																																	
Activity 1.2.1																																	
Activity 1.2.2																																	
<b>Suboutcome 1.3: Capacity for regularly monitoring, updating and reviewing adaptation action is enhanced</b>																																	
Activity 1.3.1																																	
Activity 1.3.2																																	
Activity 1.3.3																																	
<b>Outcome 2: The evidence base for adaptation planning is strengthened and adaptation prioritized into national and sectoral planning and budgeting</b>																																	
<b>Suboutcome 2.1: Climate data is consolidated, and vulnerability assessments conducted for the 5 priority sectors</b>																																	
Activity 2.1.1																																	
Activity 2.1.2																																	
<b>Suboutcome 2.2: A system for economic analysis and appraisal of priority adaptation options is established</b>																																	
Activity 2.2.1																																	
<b>Suboutcome 2.3: CCA priority interventions are integrated into national and sectoral planning and budgeting</b>																																	
Activity 2.3.1																																	
<b>Outcome 3: Adaptation financing and investment strategy for Uzbekistan is developed</b>																																	
<b>Suboutcome 3.1: A NAP Financing and Investment Strategy on initial priority sectors considering specific impacts and vulnerabilities is developed through consultative process</b>																																	
Activity 3.1.1																																	
<b>Suboutcome 3.2: Private sector engagement in CCA is strengthened</b>																																	
Activity 3.2.1																																	

## ANNEX D: PROCUREMENT PLAN

ITEM	ITEM DESCRIPTION	ESTIMATED COST (US \$)	PROCUREMENT METHOD	THRESHOLDS	ESTIMATED START DATE	PROJECTED CONTRACTING DATE
				(Min-Max monetary value for which indicated procurement method must be used)		
<b>Goods and Non-Consulting Services</b>						
CS Individual	National Project Manager (climate policy profile)	65,835.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1
CS Individual	National Project Adviser (M&E profile)	50,022.50	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1
CS Individual	National Finance Specialist (climate finance profile)	50,407.50	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1
CS Individual	Administrative and Finance Assistant	43,620.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1
CS Individual	Driver	30,810.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1
CS Company	A national training institution to implement capacity development programme on 4 topics	100,000.00	Local Advertisement		QTR3-YR1	QTR3-YR1
CS Company	A national firm to conduct detailed vulnerability assessment of the health sector, with focus on impacts of climate change on women's health	100,000.00	Local Advertisement		QTR4-YR1	QTR4-YR1
Audio Visual & Print Prod Costs - CS Company	Company to provide all print and electronic media production and dissemination on climate change adaptation	40,000.00	Local Advertisement		QTR4-YR1	QTR4-YR1
IT Equipment	Various IT Equipment (PCs with UPS, Laptops, printer, etc.)	16,500.00	Desk Review – Competitive Sourcing		QTR1-YR1 - QTR4-YR2	QTR1-YR1 - QTR4-YR2
Audio Visual & Print Prod Costs	Various Printing Material/translation and production in Uzbek language.	115,000.00	Desk Review – Competitive Sourcing		QTR1-YR1 - QTR2-YR3	QTR1-YR1 - QTR2-YR3
Office Supplies	Office Supplies	1,250.00	Desk Review – Competitive Sourcing		QTR1-YR1 - QTR2-YR3	QTR1-YR1 - QTR2-YR3
CS Company	Professional Services (Audit)	7,500.00	Desk Review – Competitive Sourcing		QTR 4 Y1, QTR2 Y3,	QTR 4 Y1, QTR2 Y3,
Training, workshop, conference	Trainings & workshops for 3 outcomes	263,000.00	Desk Review – Competitive Sourcing		QTR1-YR1	QTR1-YR1
SUB-TOTAL (US \$)		<b>883,945.00</b>				
<b>Consultancy Services</b>						
Local Consultant	1 national climate change adaptation expert (1.1.1-1.3.3)	26,000.00	Desk Review – Competitive Sourcing		QTR2-YR1	QTR2-YR1
Local Consultant	1 national gender expert (1.1.1-1.3.3)	26,000.00	Desk Review – Competitive Sourcing		QTR2-YR1	QTR2-YR1
Local Consultant	1 national climate finance expert (1.1.1-1.3.3)	26,000.00	Desk Review – Competitive Sourcing		QTR2-YR1	QTR2-YR1
Local Consultant	1 national monitoring and evaluation expert (1.1.1-1.3.3)	26,000.00	Desk Review – Competitive Sourcing		QTR2-YR1	QTR2-YR1
Local Consultant	1 national communications expert (1.2.2)	15,000.00	Desk Review – Competitive Sourcing		QTR2-YR1	QTR2-YR1

Local Consultant	1 national health and climate change specialist (2.1.1, 2.1.2)	40,000.00	Desk Review Competitive Sourcing	-		QTR3-YR1	QTR3-YR1
Local Consultant	1 national agricultural specialist (2.1.1)	18,000.00	Desk Review Competitive Sourcing	-		QTR3-YR1	QTR3-YR1
Local Consultant	1 national water specialist (2.1.1)	18,000.00	Desk Review Competitive Sourcing	-		QTR3-YR1	QTR3-YR1
Local Consultant	1 national disaster risk management specialist (2.1.1)	18,000.00	Desk Review Competitive Sourcing	-		QTR3-YR1	QTR3-YR1
Local Consultant	1 national housing specialist (2.1.1)	18,000.00	Desk Review Competitive Sourcing	-		QTR3-YR1	QTR3-YR1
Local Consultant	1 national economist (3.1.1)	26,000.00	Desk Review Competitive Sourcing	-		QTR3-YR2	QTR3-YR2
Local Consultant	1 national public private partnerships expert (3.2.1)	26,000.00	Desk Review Competitive Sourcing	-		QTR3-YR2	QTR3-YR2
International consultant	1 international project evaluation expert	10,000.00	Desk Review Competitive Sourcing	-		QTR1-YR3	QTR1-YR3
International consultant	1 international climate policy expert (1.1.2, 1.1.3, 1.2.1)	20,000.00	Desk Review Competitive Sourcing	-		QTR2-YR1	QTR2-YR1
International consultant	1 international M&E expert (1.3.1, 1.3.2)	20,000.00	Desk Review Competitive Sourcing	-		QTR2-YR1	QTR2-YR1
International consultant	1 international training expert (1.1.2, 1.2.2)	20,000.00	Desk Review Competitive Sourcing	-		QTR2-YR1	QTR2-YR1
International consultant	1 international climate science/information expert (2.1.1 2.3.1)	20,000.00	Desk Review Competitive Sourcing	-		QTR3-YR1	QTR3-YR1
International consultant	1 international climate and health expert (2.1.2)	20,000.00	Desk Review Competitive Sourcing	-		QTR3-YR1	QTR3-YR1
International consultant	1 international expert on economic valuation/prioritization (2.2.1)	20,000.00	Desk Review Competitive Sourcing	-		QTR2-YR1	QTR2-YR1
International consultant	1 international innovative financing expert (3.1.1)	20,000.00	Desk Review Competitive Sourcing	-		QTR3-YR2	QTR3-YR2
International consultant	1 international capacity building expert (outcomes 1-3)	25,000.00	Desk Review Competitive Sourcing	-		QTR1-YR1	QTR1-YR1
International consultant	1 international public-private partnerships expert (3.2.1)	20,000.00	Desk Review Competitive Sourcing	-		QTR3-YR2	QTR3-YR2
<b>SUB-TOTAL (US \$)</b>		<b>478,000.00</b>					
<b>TOTAL COST (US \$)</b>		<b>1,361,945.00</b>					

PROCUREMENT OF GOODS, SERVICES, and WORKS		
CONTRACT VALUE	TYPE OF REQUIREMENT	METHOD OF SOLICITATION
Below US\$10,000	Individual contracts	Direct contracting
US\$10,000 - US\$99,999	Individual contracts	Competitive process. Desk review.
US\$100,000 - US\$149,999	Individual contracts	Competitive process & Advertisement & interview (CAP)
US\$150,000 and above	Individual contracts	Competitive process & Advertisement & interview (RACP)
Below US\$5,000	Goods, services or simple works	Competitive process. Canvassing (by phone, internet shopping, etc.)
US\$5,000 to 149,999	Goods, services or simple works	Competitive process. Written request for quotation
US\$150,000 and above	Goods or works	Competitive process. Advertisement in international media
US\$150,000 and above	Services	Competitive process. Advertisement in international media
Any amount within permissible circumstances	Services, goods, or works	Direct invitation or negotiation



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## ANNEX E: TERMS OF REFERENCES FOR PROJECT BOARD AND PROJECT TEAM/PMU

### PROJECT BOARD

Composition and organization: The Project Board contains three roles, including (1) **an executive**: individual representing the project ownership to chair the group; (2) **senior supplier**: individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project; and (3) **senior beneficiary**: individual or group of individuals representing the interests of those who will ultimately benefit from the project.

#### I. Specific responsibilities

##### 1. Initiating a project:

- Agree on PM's responsibilities, as well as the responsibilities of the other members of the Project Management team;
- Delegate any Project Assurance function as appropriate;
- Review and appraise detailed Project Plan and AWP, including Atlas reports covering activity definition, quality criteria, issue log, updated risk log and the monitoring and communication plan.

##### 2. Running a project:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the Project Manager;
- Provide guidance and agree on possible countermeasures/management actions to address specific risks;
- Agree on Project Manager's tolerances in the Annual Work Plan and quarterly plans when required;
- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner;
- Appraise the Project Annual Review Report, make recommendations for the next AWP, and inform the Outcome Board about the results of the review.
- Review and approve end project report, make recommendations for follow-on actions;
- Provide ad-hoc direction and advice for exception situations when project manager's tolerances are exceeded;
- Assess and decide on project changes through revisions;

##### 3. Closing a project:

- Assure that all Project deliverables have been produced satisfactorily;
- Review and approve the Final Project Review Report, including Lessons-learned;
- Make recommendations for follow-on actions to be submitted to the Outcome Board;
- Commission project evaluation (only when required by partnership agreement)
- Notify operational completion of the project to the Outcome Board.

#### II. Executive

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher-level outcomes. The Executive has to ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier. Specific Responsibilities (as part of the above responsibilities for the Project Board) include:

- Ensure that there is a coherent project organization structure and logical set of plans
- Set tolerances in the AWP and other plans as required for the Project Manager
- Monitor and control the progress of the project at a strategic level
- Ensure that risks are being tracked and mitigated as effectively as possible
- Brief Outcome Board and relevant stakeholders about project progress
- Organize and chair Project Board meetings

#### III. Senior Beneficiary

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. This role represents the interests of all those who will benefit from the project, or those for whom the deliverables resulting from activities will achieve specific output targets. The Senior Beneficiary role monitors progress against targets and quality criteria. Specific Responsibilities (as part of the above responsibilities for the Project Board) include:

- Ensure the expected output(s) and related activities of the project are well defined
- Make sure that progress towards the outputs required by the beneficiaries remains consistent from the beneficiary perspective
- Promote and maintain focus on the expected project output(s)
- Prioritize and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Resolve priority conflicts

The assurance responsibilities of the Senior Beneficiary are to check that:

- Specification of the Beneficiary’s needs is accurate, complete and unambiguous
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary’s needs and are progressing towards that target
- Impact of potential changes is evaluated from the beneficiary point of view
- Risks to the beneficiaries are frequently monitored

**IV. Senior Supplier**

The Senior Supplier represents the interests of the parties, which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier’s primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. Specific Responsibilities (as part of the above responsibilities for the Project Board) include:

- Make sure that progress towards the outputs remains consistent from the supplier perspective
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management
- Ensure that the supplier resources required for the project are made available
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts

The supplier assurance role responsibilities are to:

- Advise on the selection of strategy, design and methods to carry out project activities
- Ensure that any standards defined for the project are met and used to good effect
- Monitor potential changes and their impact on the quality of deliverables from a supplier perspective
- Monitor any risks in the implementation aspects of the project

Service Contract National staff	
<p><b>National Climate Change Policy Expert (Project Manager) – full time (manages all 3 components over 30 months)</b></p>	<p>He/she will work in close collaboration with the Government counterparts, project, operations, and Programme’s staff in the CO staff to exchange climate change information and ensure consistent service delivery, and undertake day-to-day responsibility for operational support services for the satisfactory achievement of the outputs, through lead and coordination of national and international consultant groups to achieve the following outcomes:</p> <ul style="list-style-type: none"> <li>• Capacities of Uzhydromet (NDA) and sectoral partners to steer the climate change coordination and integration process are strengthened and adaptation framework initiated through:               <ul style="list-style-type: none"> <li>○ Establishing and operationalization of gender-sensitive and participatory coordination process for climate change adaptation:                   <ul style="list-style-type: none"> <li>▪ Inter-Agency Working Group established (month 3)</li> <li>▪ Terms of Reference for IAWG developed (month 6)</li> </ul> </li> <li>○ Conducting gaps assessments focused on technical capacity related to climate change adaptation (climate change information, tools for integration, project development, gender mainstreaming, monitoring and evaluation) for key stakeholders from the Inter-Agency Working Group to improve coordination across sectors and different levels of government:                   <ul style="list-style-type: none"> <li>▪ Adaptation capacity gaps report (month 7)</li> <li>▪ Adaptation capacity development plan (month 8)</li> </ul> </li> <li>○ Implementation of capacity development programme for up to 4 areas, including access and use of climate information, tools for integration, prioritization, project development, gender mainstreaming, monitoring and evaluation:                   <ul style="list-style-type: none"> <li>▪ Training manuals developed (month 12)</li> <li>▪ Trainings conducted (month 24)</li> </ul> </li> <li>○ Conducting gap analysis that is identifying areas of need for the framework for climate change adaptation planning, building on the government’s initiative to install state development programmes, and in line with NSSD:                   <ul style="list-style-type: none"> <li>▪ Institutional review report at national level (month 7)</li> <li>▪ Institutional review report at local level for 3 provinces (month 18)</li> </ul> </li> </ul> </li> </ul>

- Capacity building strategy/plan document (month 30)
  - Documentation of lessons learned and best practices of adaptation interventions to encourage scaling up of successful approaches:
    - Analysis of CCA statistics (ongoing throughout the life of the project)
    - Compilation of best practices (ongoing throughout the life of the project)
  - Align CCA and development priorities and ensure integration with sectoral and provincial plans, to coincide with the government's introduction of state development programme, sectoral plans Citizen's budget and "open budget":
    - Key sector priority adaptation actions (report) (month 20)
- Supervising and/or guiding national consultants involved in NAP project.

He/she provides operational services ensuring high quality, accuracy and consistency of work, including:

- Oversee planning process for the project and ensure its implementation in accordance with the signed project document;
- Responsible for ensuring that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost;
- Manage the realization of project components and outputs through activities;
- Ensure that project contributes to the promotion of gender equality by reaching, involving and benefiting both women and men in its activities (gender mainstreaming);
- Provide direction and guidance to project team(s)/responsible party (ies);
- Identify partnership strategies with regard to providers of specialised expertise and possible co-financiers, and assists in resource mobilisation for project components;
- Identify and obtains any support and advice required for the management, planning and control of the project;
- Liaise with any suppliers;
- Prepare timely reports of project progress in line with UNDP and donor requirements
- Plan the activities of the project and monitor progress against the initial quality criteria;
- Mobilize goods and services to initiative activities, including drafting TORs and work specifications;
- Manage requests for the provision of financial resources by UNDP, using advance of funds, direct payments, or reimbursement;
- Manage and monitor the project risks, submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the Project Risks Log;
- Be responsible for managing issues and requests for change by maintaining an Issues Log;
- Prepare the quarterly and annual financial and progress reports and submit the reports to the Project Board and UNDP, including through ATLAS system;
- Prepare the Annual Review Report (UNDP format) and Project Implementation Report (GCF format) and submit reports to the Project Assurance team and GCF; based on the ARR, prepare the Annual Work Plan (AWP) and Annual Plan of Activities and Procurement Plan for the project years;
- Monitor the implementation of project components, analyses problems that hamper their implementation and takes appropriate measures to ensure timely delivery of required inputs and achievement of project-wide results;
- Monitor financial resources and accounting to ensure accuracy and reliability of financial reports, including proper utilization of funds and delivery, budget revisions, availability of funds, reconciliation of accounts, establishment of internal control mechanisms. Act as a focal point to liaise with auditors and

	<p>ensures follow-up actions. Ensures the accuracy and reliability of financial information and reporting;</p> <ul style="list-style-type: none"> <li>• Sign annual CDRs with UNDP and the Implementing Partner national agency;</li> <li>• Monitor and facilitate advocacy and mass media outreach activities, writing of success stories, newspapers coverage, PR campaigns;</li> <li>• Organize workshops, seminars and round tables to introduce project outputs to all stakeholders involved. Render support to related UNDP thematic activities such as publications, sharing of knowledge and group discussions;</li> <li>• Liaise with other UNDP and UNDP-GCF funded projects to implement possible synergies and reports to UNDP Programme Officer and NPC on conducted activities;</li> <li>• Undertake resource mobilization activities to be built on the project achievement that contribute to project scaling-up and replication</li> </ul>
<p><b>National Consultant on Gender and M&amp;E expert (Technical Adviser) - full time full time (manages all 3 components over 30 months)</b></p>	<p>Analyzes needs for gender mainstreaming in climate change adaptation planning and budgeting, ensured that gender concerns will be brought to the forefront through all three of the project outcomes: (a) the sensitization of official beneficiaries on the crucial role women are playing in the society and in the adaptation process and how essential it is to involve them in every aspect of this process; (b) the engagement of women decision-makers in the trainings, meetings, workshops, etc.; and (c) the development support, evaluation and selection of gender-sensitive initiatives for further implementation.</p> <p>Ensures gender inclusiveness in climate change adaptation planning and budgeting. Provides gender related inputs to vulnerability assessment of all five sectors and three regions selected under NAP.</p> <p>Will be responsible that NAP is directly aligned with the gender policy of the GCF that identifies six priority areas through a range of adaptation topics, and place emphasis on addressing gender inequality along its implementation and operationalization through:</p> <ul style="list-style-type: none"> <li>• Generation of gender-sensitive CCA indicators and development of procedures for data collection and dissemination to bolster the M&amp;E system and try to link the climate and gender related data to the national Project Management System, in cooperation with the State Committee for Statistics and the National Project Management Authority to ensure transparency and availability of climatic data (month 10);</li> <li>• Development of M&amp;E methodology (month 10);</li> <li>• Providing gender sensitive and gender disaggregated inputs to reporting to UNDP and GCF (months 2-30);</li> <li>• Supervision of and guiding the national climate &amp; gender expert who will support coordination role of Uzhydromet (over 30 months);</li> <li>• Centering gender inclusiveness in NAP process through that gender sensitivity, data disaggregation and assessment/analysis are properly captured by other national and international consultant groups (over 30 months);</li> <li>• Raising awareness and increasing knowledge of all project stakeholders about climate change adaptation and gender mainstreaming (over 30 months);</li> <li>• Leading development of M&amp;E methodology and providing M&amp;E support to national monitoring of SDG indicators (over 30 months);</li> <li>• Sharing adaptation measures and best practices through the national project management system (months 6-30)</li> </ul>
<p><b>National Climate Finance Expert (Finance Specialist) – full time (manages all 3 components over 30 months)</b></p>	<p>He/she will lead taking stock of sources of climate finance, finance tracking with focus on climate adaptation in sectoral and regional planning and budgeting. Will be responsible for setting up a long-term infrastructure where the future climate-relevant investment priorities are mapped out to attract investments and set up long-term partnerships, including:</p> <ul style="list-style-type: none"> <li>• Assessment of climate change-related priorities and associated financing required to address/implement climate adaptation priorities, and identification of potential sources of funding - international, national, private and public - and current barriers to investments (months 2-5);</li> <li>• Conducting an institutional barrier assessment for climate change at national level, including but not limited to a review of the criteria for accessing Fund for Financing Government Development Programme, national and sectoral</li> </ul>

policies and laws, and development of a report and its validation through a consultation (months 6-7)

- Strengthening system to appraise individual adaptation options, including cost and benefits for unintended impacts of adaptation measures in Uzbekistan, in collaboration with Ministry of Finance (months 6-7);
- Implementation of capacity building activities for sub-set of the IAWG to appraise CCA investments that meets on demand and includes in particular members from the Ministry of Finance and Economy as well as 5 priority sector representatives (months 6-7);
- Identification of CBA, CEA, MCA (and/or other tools) guide for adaptation projects and programmes and adaptation and adoption through a consultation workshop (months 8-11);
- Development of appraisal/prioritization methodology and tools (month 11);
- Development of Guidelines for CCA integration into policies and prioritization in the priority sectors (months 11-13)
- Conducting 6 Trainings on the use and application of prioritization tools (1 per sector and 1 with national stakeholder -Uzhydromet, Finance and Economy) for relevant stakeholders (months 14-16);
- Development of Training reports on appraisal/prioritization (month 16);
- Development of recommendation for CCA inclusion in Citizen’s budget, and state development plans (month 24)
- Prioritization of actions for short and long-term investment; and identify gaps or barriers for adequate financing within the climate change vulnerability assessment of all five sectors and three regions selected under NAP;
- Analysis and structuring financing to fit the specific needs of climate-relevant investment and undertake capacity building activities to increase understanding by governmental financial institutions;
- Working with local financial institutions to create a context in which smaller, initial investments into adaptation measures by the public sector “crowd in” follow on investment by private/financial sector actors, including bigger national and international financial institutions;
- Supporting financial institutions in public and private sectors in effective coordination between national stakeholders to facilitate the process of developing and financing climate adaptation investments across the 5 sectors and 3 regions;
- Leading development of a NAP financing and investment strategy through consultative process with public and private sector, vulnerable communities, in collaboration with the GCF Readiness Programme, and provide strategic guidance to National Expert on financial needs assessment;
- Capacity needs and action plan produced and included for implementation in a second phase proposal to GCF (month 30)

## ANNEX F: UNDP RISK LOG

### Risks and Assumptions:

As per standard UNDP requirements, the Project Manager will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high (i.e. when impact is rated as 5, and when impact is rated as 4 and probability is rated at 3 or higher).

**Table: Project Risks**

#	Description of the risk	Potential consequence	Countermeasures/ Mgmt. response	Type (Risk category)	Probability & Impact (1-5)
1	Problems related to involvement and cooperation of stakeholders to provide the project team with data	Incomplete data collection Delay in the completion of the outputs	Clear commitment will be obtained from across government agencies (as part of TOR for IAWG) to contribute to data collection and dissemination of data	Political and organisational	P=3 I=4
2	Governments will not have funds to sustain the national arrangements, once the project ends	Endangered project sustainability	A second phase of the NAP project is envisaged to further advance the NAP in Uzbekistan. Furthermore, Outcome 3 of the project will involve taking stock of sources of climate finance, finance tracking. This will guide:  awareness raising among decision-makers;  outreach to potential donors and private sector investors;	Financial	P=2  I=4
3	Conflicts among stakeholders as regards roles in the project, duplication of efforts	Uncoordinated approach to tackling climate change  Threat to successful project implementation.	Stakeholder involvement detailed clearly in stakeholder involvement plan and stakeholders are held to their roles.  a timeline will be developed for Uzbekistan NAP process and updates communicated to stakeholders;  a monitoring process will contribute evidence to report and respond to challenges identified during implementation monitoring the progress of implementation.	Political and organisational	P=2 I=3
4	Lack of political will to support the project	Endangered project sustainability	Awareness-raising among the key decision-makers.  Support will be given to government to organise consultations on project progress at key stages in order to maintain government ownership and interest in the project.  Collaboration with other cooperation projects (through IAWG) which will help to maintain political visibility.	Political and strategic	P=2  I=4

5	Limited capacity within relevant ministries/insufficient qualified human capacity.	May limit/delay project implementation/completion.	A major part of the project is to strengthen institutional and regulatory capacity, building on existing country-based initiatives.	Political, strategic	P=3 I=4
7	Excluding any potentially affected stakeholders from fully participating in decisions that may affect them	The NAP will not reflect the vulnerabilities and needs of the most vulnerable.	<p>The project implementing team will conduct real-time monitoring and evaluation of each stakeholder engagement activity to ensure that these processes are fully inclusive.</p> <p>Management processes (e.g. budgets and work plans) will be adjusted should country circumstances prevent any affected stakeholder groups from engaging in the process.</p>		P = 2 I = 2

# PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL

## OVERALL PROJECT

EXEMPLARY (5) ●●●●●	HIGHLY SATISFACTORY (4) ●●●●○	SATISFACTORY (3) ●●●○○	NEEDS IMPROVEMENT (2) ●●○○○	INADEQUATE (1) ●○○○○
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.

## DECISION

- **APPROVE** – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
- **APPROVE WITH QUALIFICATIONS** – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.
- **DISAPPROVE** – the project has significant issues that should prevent the project from being approved as drafted.

## RATING CRITERIA

### STRATEGIC

<p><b>1. Does the project’s Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project’s strategy is the best approach at this point in time.</li> <li>• <b>2:</b> The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.</li> <li>• <b>1:</b> The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD’s theory of change.</li> </ul> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	3	2
	1	
	<b>Evidence</b>	
<p><b>2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project responds to one of the three areas of development work<sup>38</sup> as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas<sup>39</sup>; an issues-based analysis has been incorporated into the project design; and the project’s RRF includes all the relevant SP output indicators. <i>(all must be true to select this option)</i></li> <li>• <b>2:</b> The project responds to one of the three areas of development work<sup>1</sup> as specified in the Strategic Plan. The project’s RRF includes at least one SP output indicator, if relevant. <i>(both must be true to select this option)</i></li> <li>• <b>1:</b> While the project may respond to one of the three areas of development work<sup>1</sup> as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.</li> </ul>	3	2
	1	
	<b>Evidence</b>	

### RELEVANT

<sup>38</sup> 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building

<sup>39</sup> sustainable production technologies, access to modern energy services and energy efficiency, natural resources management, extractive industries, urbanization, citizen security, social protection, and risk management for resilience



<p><b>3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable). The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) <i>(all must be true to select this option)</i></li> <li><b>2:</b> The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. <i>(both must be true to select this option)</i></li> <li><b>1:</b> The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project.</li> </ul> <p><i>*Note: Management Action must be taken for a score of 1, or select not applicable.</i></p>	3	2
	1	
	Evidence	
<p><b>4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives.</li> <li><b>2:</b> The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives.</li> <li><b>1:</b> There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence.</li> </ul> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	3	2
	1	
	Evidence	
<p><b>5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> A <u>participatory</u> gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. <i>(all must be true to select this option)</i></li> <li><b>2:</b> A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. <i>(all must be true to select this option)</i></li> <li><b>1:</b> The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered.</li> </ul> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	3	2
	1	
	Evidence	
<p><b>6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. <i>(all must be true to select this option)</i></li> <li><b>2:</b> Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified.</li> <li><b>1:</b> No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.</li> </ul>		2
	1	
	Evidence	

*Note: Management Action or strong management justification must be given for a score of 1				
<b>SOCIAL &amp; ENVIRONMENTAL STANDARDS</b>				
<p><b>7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. <i>(all must be true to select this option)</i></li> <li><b>2:</b> Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget.</li> <li><b>1:</b> No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.</li> </ul> <p>*Note: Management action or strong management justification must be given for a score of 1</p>	3	2		
	1			
	Evidence			
<p><b>8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. <i>(all must be true to select this option)</i>.</li> <li><b>2:</b> No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.</li> <li><b>1:</b> No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.</li> </ul> <p>*Note: Management action or strong management justification must be given for a score of 1</p>	3	2		
	1			
	Evidence			
<p><b>9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks?</b> The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]</p>	Yes	No		
<b>MANAGEMENT &amp; MONITORING</b>				
<p><b>10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. <i>(all must be true to select this option)</i></li> <li><b>2:</b> The project's selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. <i>(all must be true to select this option)</i></li> <li><b>1:</b> The results framework does not meet all of the conditions specified in selection "2" above. This includes: the project's selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project's theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	3	2		
	1			
	Evidence			

<b>11. Is there a comprehensive and costed M&amp;E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?</b>	Yes (3)	No (1)
<b>12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project):</b> <ul style="list-style-type: none"> <li>• <b>3:</b> The project's governance mechanism is fully defined in the project composition. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. <i>(all must be true to select this option).</i></li> <li>• <b>2:</b> The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The prodoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. <i>(all must be true to select this option)</i></li> <li>• <b>1:</b> The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.</li> </ul> <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	3	2
1		
<b>Evidence</b>		
<b>13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project):</b> <ul style="list-style-type: none"> <li>• <b>3:</b> Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. <i>(both must be true to select this option)</i></li> <li>• <b>2:</b> Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk.</li> <li>• <b>1:</b> Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document.</li> </ul> <p><i>*Note: Management Action must be taken for a score of 1</i></p>	3	2
1		
<b>Evidence</b>		
<b>EFFICIENT</b>		
<b>14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.</b>	Yes (3)	No (1)
<b>15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)</b>	Yes (3)	No (1)
<b>16. Is the budget justified and supported with valid estimates?</b> <ul style="list-style-type: none"> <li>• <b>3:</b> The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget.</li> <li>• <b>2:</b> The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates.</li> <li>• <b>1:</b> The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.</li> </ul>	3	2
1		
<b>Evidence</b>		
<b>17. Is the Country Office fully recovering the costs involved with project implementation?</b>	3	2
1		

<ul style="list-style-type: none"> <li>• <b>3:</b> The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)</li> <li>• <b>2:</b> The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.</li> <li>• <b>1:</b> The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.</li> </ul> <p>*Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.</p>	<b>Evidence</b>	
<b>EFFECTIVE</b>		
<p><b>18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. <i>(both must be true to select this option)</i></li> <li>• <b>2:</b> The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments.</li> <li>• <b>1:</b> The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	3   2	1
<p><b>19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions.</li> <li>• <b>2:</b> Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.</li> <li>• <b>1:</b> No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project.</li> </ul>	3   2	1
<p><b>20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?</b></p>	Yes (3)	No (1)
<p><b>21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.</b></p> <p>*Note: Management Action or strong management justification must be given for a score of “no”</p>	Yes (3)	No (1)
<p><b>22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project has a realistic work plan &amp; budget covering the duration of the project <i>at the activity</i> level to ensure outputs are delivered on time and within the allotted resources.</li> <li>• <b>2:</b> The project has a work plan &amp; budget covering the duration of the project at the output level.</li> <li>• <b>1:</b> The project does not yet have a work plan &amp; budget covering the duration of the project.</li> </ul>	3   2	1
<b>SUSTAINABILITY &amp; NATIONAL OWNERSHIP</b>		
	3   2	1

<p><b>23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> National partners have full ownership of the project and led the process of the development of the project jointly with UNDP.</li> <li>• <b>2:</b> The project has been developed by UNDP in close consultation with national partners.</li> <li>• <b>1:</b> The project has been developed by UNDP with limited or no engagement with national partners.</li> </ul>	Evidence	
<p><b>24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.</li> <li>• <b>2.5:</b> A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities.</li> <li>• <b>2:</b> A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment.</li> <li>• <b>1.5:</b> There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned.</li> <li>• <b>1:</b> Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.</li> </ul>	3	2.5
	2	1.5
	1	
	Evidence	
<p><b>25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.) to the extent possible?</b></p>	Yes (3)	No (1)
<p><b>26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?</b></p>	Yes (3)	No (1)

## ANNEX H: SECTION 2 OF THE READINESS SUPPORT INTERIM PROGRESS REPORT TEMPLATE

### SECTION 2 of the GCF READINESS SUPPORT INTERIM PROGRESS REPORT TEMPLATE

This section requires an update on progress in implementing the planned Readiness activities. Any draft to the expected output should be submitted with progress report.

Progress is reported for the period (should be consistent with section 1.8)

From: Click or tap to enter a date. To: Click or tap to enter a date.

#### Outcome 1:

Outcome narrative: Please provide a brief summary of the outcome achieved.

Outputs	Baseline summary	Activities	Targets achieved	Indicators	Milestones and deliverables achieved <sup>40</sup>	Variance explanation	Qualitative assessment of activities undertaken	Planned activities and corresponding deliverables/milestones for the next reporting period
	Please provide a brief summary of the baseline scenario at the proposal stage.		Please rate the status of targets achieved through activities undertaken during the reporting period, against the baseline and the proposed targets in the proposal.	Based on your approved proposal, please outline the key indicators.	Please state the milestones and deliverables achieved as agreed in Grant Agreement.	In this column, identify and explain the reasons for the difference, if any, between a planned activity and the corresponding actual activity that took place during the reporting period.	In this column, summarize some of the qualitative results achieved through activities undertaken during the reporting period.	Please highlight activities, deliverables and milestones planned for the next reporting period and indicate any modifications that might be made from the original implementation plan. Also, indicate any corrective actions that need to be taken up to address impediments that emerged in the reporting period.
1.1								
1.2								
1.3								

## ANNEX I: COMPOSITION AND ROLES OF MEMBERS OF THE INTER-AGENCY WORKING GROUP

The Inter-Agency Working Group (IAWG) on NAP is a collegial body, which coordinates project implementation and provides required strategic guidelines. The main task of the IAWG is the creation of effective mechanisms for interaction between all project stakeholders and ensuring the required transparency for understanding and overseeing/monitoring interactions of all stakeholders involved in sectoral planning and decision-making process.

The Technical Advisory Group (TAG) will be represented by an expert level of specialists from the relevant ministries and departments and will ensure the integration of legal, technical, programmatic, informational and methodological resources on issues related to the implementation and development of climate resilient approaches and adaptation measures.

The TAG is assigned such functions as expert-level advice and support within their competencies through collecting and providing sectoral and regional data/information/statistics (Uzhydromet provides climate monitoring data) required for vulnerability assessment, and adaptation needs of each particular targeted sector/region, analytical materials, evaluation of effectiveness of adaptation measures with taking into consideration the socio-economic and demographic indicators and forecasts, summarizing adaptation action results in each sector/region (proven best practices and adaptation approaches/measures), and contribute to monitoring of adaptation activities will be implemented within the NAP project.

TAG might establish ad-hoc temporary specific expert groups, if more in-depth studies on adaptation are required to ensure greater climate resilience in particular sector in specific region. Studies and analytical briefs/papers developed by TAG will be presented to IAWG for consideration and to inform its decision-making.

Stakeholder type	Stakeholder list	Baseline work	Potential contributions and roles in the project
Government agencies	Uzhydromet, Ministry of Economy and Industries, Ministry of Finance, Ministry of Agriculture, Ministry of Water Resources	<i>Uzhydromet</i> under the Cabinet of Ministers is responsible for coordinating climate change adaptation activities at the national, regional and local levels. It is responsible for the implementation national climate change priorities, and is focal point to communicate to UNFCC, including Adaptation Fund and Green Climate Fund.	Coordinates project implementation and provides required strategic guidelines. It leads IAWG and responsible for creation of an effective mechanisms for interaction between all project stakeholders and ensuring the required transparency for understanding and overseeing/monitoring interactions of all stakeholders involved in sectoral planning and decision-making process. Uzhydromet collects and provides sectoral and regional data/information/statistics on climate monitoring and forecast.
		<i>Ministry of Economy and Industries</i> is a key agency that is entrusted by the government with the macroeconomic mid and long-term planning and country development as well as industrialization (including climate change mitigation activities and initiatives through increased energy efficiency and wider use of renewable energy) and country's urbanization. MoE also ensures integration with the global economy, develops national and sectoral programmes, and is coordinating and overseeing implementation of international technical assistance programmes.	Contributes to project integration with key national sectoral and regional development strategies, action plans and programmes, provides macroeconomic indicators/statistics and planning. Insures synergizing with other international aid relevant programs/projects. Mobilizes required human and financial resources.
		<i>Ministry of Finance</i> provides the annual allocation in the state budget for national programs and is the government agency that handles sovereign lending and ODA. It also implements coordination and control over spending of grant-based technical assistance aimed at SDGs achieving.	Provides strategic and technical advisory and consulting on planning and integrations climate financing and reporting on its spending into the state budget system.
		<i>Ministry of Foreign Affairs'</i> basic task is to pursue the principles of state sovereignty and the actual	Coordinates the work of ministries, departments, institutions in their developing international relations with

		implementation of the foreign policy of Republic of Uzbekistan, protection of state interests and the rights of the citizens of Uzbekistan in relations with foreign countries and international and regional organizations.	foreign partners. Takes measures on ensuring the fulfillment of obligations of parties on state agreements of the Republic of Uzbekistan (in particular Paris Agreement ratified)
		<i>Ministry of Agriculture</i> is a government body responsible for implementation of the unified agro-technical policy aimed at modernization and sustainable development of agriculture, ensuring strict observance of legislation on utilization of land resources (irrigated and non-irrigated). It participates in development of investment policies for agriculture.	Provides strategic and technical consulting assistance on funding investment in adaptation projects related to agriculture, provides required information/data/statistics, and coordination of agriculture related projects with NAP activities and their implementation. Is a subject of climate vulnerability assessment and adaptation planning development. Provides sector-specific data/information statistics and ensures integration NAP with sectoral policies, strategies, action plans and programs.
		Ministry of Water Resources implements the unified policy on water resource management and is responsible for ensuring national water security in the long run. It is responsible for improving legal and regulatory framework of water resources sector, optimization of water resource management; development of economic mechanisms and monitoring of water resource utilization, scaling up use of water saving technologies.	Provides strategic and technical consulting assistance on funding investment in adaptation projects related to water sector, provides required information/data/statistics, and coordination of water management related projects with NAP activities and their implementation. Is a subject of climate vulnerability assessment and adaptation planning development. Provides sector-specific data/information statistics and ensures integration NAP with sectoral policies, strategies, action plans and programs.
		<i>Ministry of Emergency Situations</i> implements management and coordination of human security activities, responsible for prevention and remediation of emergency situations provoked by human-made and natural disasters.	Provides strategic and technical consulting assistance on funding investment in adaptation projects related to natural disasters, including induced by climate change, provides required information/data/statistics, and coordination of related projects with NAP activities and their implementation. Is a subject of climate vulnerability assessment and adaptation planning development. Provides specific data/information statistics and ensures integration NAP with sectoral policies, strategies, action plans and programs.
		<i>Ministry of Energy</i> is entrusted with reforming (restructuring) of energy sector, comprehensive strategic vision, implementation of priority activities aimed at wider utilization of renewable energy sources in Uzbekistan	Provides strategic and technical consulting assistance on funding investment in increasing energy efficiency and use of renewables in terms of adaptation needs of all sectors that are subject to climate vulnerability assessment under the NAP Provides specific data/information statistics and ensures integration NAP with sectoral policies, strategies, action plans and programs.
		<i>Ministry of Construction</i> is responsible for urban and rural construction development, examination of master plans, promotion of best practices in approaches in architecture and spatial planning, improvement of designs and ensures quality of construction.	Provides strategic and technical consulting assistance on funding investment in increasing energy efficiency and use of renewables in terms of adaptation needs in housing and buildings sector. Provides specific data/information statistics and ensures integration NAP with sectoral policies, strategies, action plans and programs.
		<i>Ministry of Health</i> is responsible for implementation of national health	Provides strategic and technical consulting assistance on funding



		policy, improvement of populations' health, creating conditions for healthy generation, development of prophylactic health care, wide promotion of healthy life styles	investment in adaptation projects related to health sector, provides required information/data/statistics, and coordination of related projects with NAP activities and their implementation. Is a subject of climate vulnerability assessment and adaptation planning development. Provides sector-specific data/information statistics and ensures integration NAP with sectoral policies, strategies, action plans and programs.
		<i>State Committee for Ecology and Environment Protection</i> develops and implements the unified nature protection and natural resources saving policy, comprehensive inter-agency management of nature protecting activities through wider and primarily application of the corresponding economic approaches and use of natural resources. It also is responsible for safe and clean environment and its improvements.	Providing strategic and technical advisory on national environment protection policy, inter-agency coordination, funding nature protection and natural resources saving activities. Provides specific data/information statistics and ensures integration NAP with sectoral policies, strategies, action plans and programs.
		<i>State Committee for Statistics</i> coordinates and regulates implementation of uniform policy on statistics; approves forms of state statistical observation, filling and submission instructions and coordinates the forms of departmental statistical observation; verifies reliability and completeness of the statistical data in the organizations of the Republic of Uzbekistan. In case of deviations, instructs on their elimination and makes appropriate corrections in the statistical data; cooperates with international statistical and economic organizations	Ensures availability of reliable data and statistics, which is paramount for NAP development. Contributes to strengthening M&E procedures in country to generate gender-sensitive CCA indicators and will develop procedures for data collection and dissemination; and links the climate and gender related data to the national Project Management System, and ensures its transparency and availability.
Sub-national authorities	Mayors of regional administration of Aral Sea region (Khorezm and Bukhara provinces and Karakalpakstan)	Responsible for addressing climate change adaptation at the sub-national levels	Participates in adaptation planning and funding in sub-national capacity building and training; congregators of additional stakeholders at sub-national and local level
NGOs	Environmental Movement of Uzbekistan	Involved in national activities and international development projects dealing with climate change mitigation and adaptation but not necessarily focused on the financing of such actions	Beneficiaries of capacity building and training; delivery of training; community mobilization; and monitoring; providing technical services
	EcoForum of Uzbekistan	National Association of the Non-Governmental and Non-Commercial Organizations	Beneficiaries of capacity building and training; delivery of training; community mobilization; and monitoring; providing technical services
	Khorezm Rural Advisory Support Service (KRASS)	Is a self-governing, independent, based on voluntary membership of practitioners, researchers, and other specialists sharing common ideas and interests. It contributes to increasing long-term food security and environmental sustainability in rural Uzbekistan through agricultural support services, promotes rational use of land and water resources by disseminating innovative, modern and improved agricultural and irrigation methods and techniques, promotes small scale private (agro) business undertakings	Contributors to relevant studies, researches and surveys in Aral Sea region as well as sharing adaptation knowledge and best practices. Beneficiaries of capacity building and training; delivery of training; community mobilization.

Private sector	Center of Energy Efficient Technologies and Renewables	Provides consulting and information services on marketing studies in environment and energy saving and renewables, delivers corresponding trainings on energy efficient and renewable energy technologies, enables networking.	Beneficiaries of capacity building and training; and business networking in terms of energy efficient and renewable energy solutions relevant to climate adaptation activities.
	Association of Energy and Fuel Producers in Uzbekistan	Unites all producers specialized in design, manufacturing of home appliances, machinery, technologies and equipment that are powered by clean types of fuel (natural gas, water) and renewables (solar, wind and biogas)	Beneficiaries of capacity building and training; and business networking in terms of energy efficient and renewable energy solutions relevant to climate adaptation activities.
	Water User Association in Bukhara	Is responsible for maintenance and operation of in-farm irrigation and drainage network as well as for water management and distribution of water resources among the farmers	Beneficiaries of capacity building and training; and business networking in terms of in-farm water management with climate adaptation considerations
	Council of Farmers, Dekhans and Rural Households in Karakalpakstan	Provide support to farmers, dekhans (subsistent farmers) and rural households in production, storage and sale of agriculture products, cooperates with local administrations and self-government in efficient use of land resources, introduction of advanced resource saving agri-technologies	Beneficiaries of capacity building and training; and business networking in terms of in-farm land management with climate adaptation considerations
	Business Women Association of Uzbekistan "Tadbirkor Ayol"	Is doing women empowerment activities, protects women economic and social rights	Beneficiaries of capacity building and training; and business networking in terms of women empowerment in relevant climate adaptation activities in private business

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## **ANNEX J: ADDITIONAL INFORMATION FOR SECOND PHASE OF ADAPTATION PLANNING PROJECT FOR UZBEKISTAN**

Informed by results of activities under this project, in particular, the gaps and needs assessments in 1.1.2 and 1.2.1, as well as compilation of climatic information in 2.1.1, a second phase of adaptation planning activities will be submitted to the GCF by the end of this project. This second phase will include specific focus on developing Uzbekistan's framework on CCA (NAP), as well as further development of capacity and integration of CCA into other sectors and levels of government.

Indicative activities under the second project will include:

- development of NAP document for Uzbekistan to serve as a country's framework on CCA,
- additional capacity development to overcome institutional barriers, particularly with respect to CCA coordination at the sectoral and local levels
- review of existing climate change policy instruments, policies, programmatic initiatives, particularly as they pertain to adaptation and propose bottom-up feedback loops and recommend revisions where possible
- enhancement of technical skills in areas including but not limited to climate information and risks assessment, long term vision and mandate for CCA and coordination and partnering,
- implementation of action plan for private sector mobilization,
- integration of CCA into additional sectoral plans and policies such as the social sector, and
- development of project ideas for financing adaptation priorities identified through the first and second phases.

This phase of the project will seek to mobilize the remaining amount from the GCF and as much as possible engage services, personnel and equipment already engaged in the first phase in order to maximise the effectiveness of the grant.

## ANNEX K: RESULTS FROM RAPID CAPACITY ASSESSMENT FOR NAP UNDERTAKEN IN OCTOBER 2016

A rapid capacity assessment to inform the NAP process was undertaken during October 25–27, 2016. The approach to identifying the required capacity needs is based on UNDP and UNITAR capacity development frameworks. The frameworks identify three skill and capacity levels – the individual, the organization and the enabling environment – for technical and functional capacities. Functional capacities are those that relate to core organizational functions necessary to implement activities, while technical capacities are sector (or area) specific.

The assessment, based on review of strategy documents, existing reports, individual interviews, as well as a basic questionnaire distributed during the cross-sectoral roundtable that involved representatives from Ministries of Finance, Foreign Affairs, Emergency Situations and Uzhhydromet, is structured according to the three intervention levels and addresses both technical skills and functional skills (see Table below).

Sector Specific (Technical)	Core Organizational Functions
<b>Enabling Environment</b>	
<ul style="list-style-type: none"> <li>• There is a need to strengthen climate related monitoring systems for sectoral implementation activities</li> <li>• Limited connection between research results, policy formulation and proposed actions to establishment of an evidence-based approach to address climate change challenges</li> <li>• Insufficient awareness about climate change impacts, climate change adaptation and linkages with existing programs and activities</li> </ul>	<ul style="list-style-type: none"> <li>• Level of understanding of sectoral based climate impact and vulnerability analysis not clear</li> <li>• Limited ability to produce forecasting and problem visioning in comprehensive and integrated manner</li> </ul>
<b>Organizational</b>	
<ul style="list-style-type: none"> <li>• Without a national mandate, implementing climate adaptation policies and strategies at sub-national and local levels is very limited</li> <li>• Lack of understanding of current capacities and climate change adaptation needs in individual communities, industries and territories</li> <li>• Limited distribution of existing climate related information and relevant analysis regarding climate impacts and vulnerabilities (driven by institutional regulations as well as organizational challenges)</li> <li>• Insufficient data about sector specific climate impacts and their economic implications as well as apparent deficit in climate related economic analysis, including damage and loss assessment and analysis</li> <li>• There may be a deficit with the required professional background (educational background, expertise and knowledge) to be qualified for meeting adaptation objectives</li> <li>• There are no climate change qualified decision-makers (or particular department) in each climate vulnerable sector</li> <li>• There is a need for ToT programs in climate change fundamentals for national training institutions and selected sector decision-makers and staff to improve sectoral capacities</li> </ul>	<ul style="list-style-type: none"> <li>• Climate related participatory decision-making and stakeholder input processes for managers and policy makers are unclear, and there is no inter-ministerial platform for discussion of adaptation issues</li> <li>• Lack of inventories of existing climate information, combined with fragmented and outdated vulnerability assessments</li> <li>• There are a number of uncertainties related to consistent climate scenarios, and limited cross-sectoral collaboration on climate adaptation programming at national and sub-national levels</li> <li>• Need to harmonize techniques for climate related data collection, analysis and documentation and to develop advanced techniques in data collection, analysis, documentation and utilization processes</li> <li>• Problematic collaboration mechanisms within and between sectors at all levels</li> <li>• Problematic arrangement for climate related trainings</li> <li>• There is a need for university level climate related national curriculum development to increase and sustain professional inputs across all sectors</li> <li>• There is a gap in availability and communication of specialized hydro-meteorological information as a result of product pricing policy and a need to facilitate provision of tailored climate services in climate-sensitive sectors</li> </ul>
<b>Individual</b>	
<ul style="list-style-type: none"> <li>• Language barriers, specifically a shortage of English speakers, prevent staff access to relatively low-cost knowledge and</li> </ul>	<ul style="list-style-type: none"> <li>• There may be a deficit in the required trained personnel (numbers and expertise) to meet adaptation objectives and a</li> </ul>

Sector Specific (Technical)	Core Organizational Functions
training; further limiting the pool of qualified staff available to attend such training	deficit in use of techniques to assess climate related challenges