

## UNITED NATIONS DEVELOPMENT PROGRAMME

**PROJECT DOCUMENT****Uzbekistan****Project Title: Advancing Deeper National SDGs Integration in the Parliament of Uzbekistan****Project Number: 00103946****Implementing Partner: Senate of Oliy Majlis of the Republic of Uzbekistan****Start Date: 30.12.2020****End Date: 31.12.2021****PAC Meeting date: 3 November 2020****Brief Description**

Effective, accountable and inclusive institutions are a vital component for responsive, inclusive, participatory and representative decision-making in the spirit of SDG 16; a foundation for sustainable peace and development. Well-capacitated Parliament is both means and mechanism to hold the government of Uzbekistan accountable for delivery of the national SDGs and building forward better from the COVID-19 crisis. It constitutes avenue of engagement between the state and its people, critical to foster public trust, social cohesion, and resilience for the way ahead.

Following December 2019 Parliamentary elections in Uzbekistan, there is a call and momentum to enhance the role and capability of the Parliament (Oliy Majlis) to carry out its core functions and responsibilities. Therefore, the project aims to support 1) the Parliament whose institutional capacity, structures and work processes are fit for the purpose of ensuring the effectiveness, accountability and equitability of government's sustainable development reforms; 2) more effective parliamentary oversight of the implementation of the reforms; 3) quality enabling legislation, which would prevent an excess of bylaws and decrees. Each will require – and will present an opportunity for – significantly enhanced citizen engagement and women's participation: as the national development strategy 2017-2021 recognizes, a precondition for the effective application of both remedies identified is significant improvement in the quality of the representation function at all levels.

Contributing Outcome (UNDAF/CPD 2021-2025): UNSCDF 1. By 2025, all people and groups in Uzbekistan, especially the most vulnerable, demand and benefit from enhanced accountable, transparent, inclusive and gender responsive governance systems and rule of law institutions for a life free from discrimination, violence and threats. Indicative Output(s) with gender marker: Output 1.3. GEN 2.	<b>Total resources required:</b>	\$190,000	
	<b>Total resources allocated:</b>	<b>UNDP (TRAC):</b>	\$ 50,000
		<b>Funding windows:</b>	\$ 140,000
		<b>Senate:</b>	In kind: office, phone, Internet

Agreed by (signatures):

Senate of Oliy Majlis of the  
Republic of Uzbekistan

Tanzila Narbaeva,  
Chairperson of the Senate

Date: 31.12.20

UNDP

Matilda Dimovska,  
Resident Representative

Date: 31.12.2020

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## I. DEVELOPMENT CHALLENGE

Since 2017, Uzbekistan's public governance, political and social institutions are being reformed under the 2017-2021 Development Strategy framework which streamlines the transformations in five priority areas: improving public and civic institutions, ensuring rule of law, liberalizing economy, optimizing social service sector and fostering human rights, religious and ethnic tolerance. A series of government decisions (presidential decrees and government resolutions) tackle some of the most systemic development challenges - creating an enabling environment for private entrepreneurship and reforming the judicial system, governance and civil service areas. Greater emphasis was placed on civil service, creating opportunities for citizens inquiries and grievances, lifting barriers for entrepreneurs/businesses, fighting bureaucracy and corruption.

The support to democratic development is expected to create a basis for advancing electoral reforms and fix existing legal shortcomings and procedural limitations in the electoral process, while strengthening the capacity of the Parliament to implement their legislative, oversight and representative functions. This process will provide unique opportunities for the country to further improve electoral process, develop law amendments to guarantee full participation of all citizens, especially first-time voters, people with disabilities and women in elections and keep the government accountable via transparently elected members of parliament and local representatives. At the same time, it will create efficient checks and balances through ensuring strong parliamentary development at the national, regional and local levels.

The reforms pay special attention to ensuring gender equality and empowering women. For instance, 16 legal acts focused on women empowerment and promotion of women's interests were adopted by the President, Parliament, and the Cabinet of Ministers of Uzbekistan in 2018-2019, and only 32 legal acts of same power were adopted in 1991-2017. In August 2019, the laws "On equal rights and opportunities of women and men" and "On protection of women from harassment and violence" were adopted setting a new level of gender equality policy in Uzbekistan.

Series of reforms aimed at further improvement of the national legislative and rulemaking process are implemented, followed by the Decree of the President "On adoption of the Concept for Improvement of Normative-making Process", which sets the comprehensive framework on establishing efficient check and balances system for new decision-making mechanisms. The mass media sector demonstrated qualitative changes in its performance. Liberalization of information policy have provided a ground for a private on-line mass media resources and bloggers to become real power, making positive impact on decision makers at central and local administrations. The executive branch of the government pays attention to the development of independent mass media and individual bloggers segment and considers them as a reflection of public opinion on the impact of the reforms.

The legal framework was recently changed with the adoption of a unified Election Code in July 2019 based on which the 2019 elections were conducted. For the first time the 2019 elections were observed by such a large number of international observers (274 observes from the OSCE/ODIHR observation mission, 551 observers from other international organisations and 41 foreign countries). Following December 2019 Parliamentary elections, there is a call and momentum to enhance the role and capability of the Parliament (Oliy Majlis) to carry out its core functions and responsibilities. In the address to the nation on 24 January 2020, President Mirziyoyev highlighted that 'democratic reforms are the only right way forward'; thus, it is critical to continue learning and based on best international standards to build the new Uzbekistan. The key principle in this transformation is to hear from the society itself, calling for active citizenship and participatory decision-making.

➤ **A strong Parliament is key to inclusion and social cohesion during reforms and building better post-COVID-19**

The President's 2018 address to the Oliy Majlis was a strong indication of acceptance at the highest levels that pursuit of a more sustainable, market-oriented and inclusive growth model, long-term investment strategies, and re-allocation of public expenditure cannot be achieved without the creation of a more inclusive and equal democratic society. The address stressed the importance of building public ownership of the reforms; broad-based cooperation and support; long-term public and private engagement; and more equal distribution of the reforms' benefits. Working to build future social cohesion and looking to benefit from the country's youth dividend (with 63% of the population estimated to be under the age of 35) will be needed to help prevent any adverse social consequences arising from the transformation.

The **separation of powers** and the existence of strong state institutions outside the executive branch are relatively novel concepts in Uzbekistan. Significant capacity and resource gaps exist in the Oliy Majlis and the regional assemblies - *kengashes* – both at the level of elected officials (many are new) and at the level of the secretariat. At the level of the Oliy Majlis, many of these are identified and analysed in the 2019 report of the Westminster Foundation for Democracy<sup>1</sup>. Although specifically addressed at the previous parliament, it seems that many of the problems identified persist, and apply to perhaps even to a greater extent, in the *kengashes*. Given the extent to which powers are devolved – and the commitment to further devolution- these capacity gaps represent a significant obstacle to the implementation of the reform agenda.

The **secretariats serving both chambers** of the Oliy Majlis and associated institutions have struggled to secure the level of human and other resources necessary to achieve the goals set out by the President through appropriate analytical, research, and clerical capacity for their members. Nor are the **rules of procedure**, and ways of working of the institution – including its use of technology – equal to the task. The understanding of the requirements and powers vested in the role has not been fully internalized among MPs yet. In addition, as identified by UNDP's existing analyses, parliamentary legislative, representation and oversight functions are often disconnected from the activities of deputies of sub-national councils of deputies (*kengashes*).

There is a clear and related need, **momentum and an opportunity**, for Parliament to assume an active role in promoting women's equal participation in governance, policy and reform processes which is key to ensuring lasting economic and social progress. The Actions Strategy prioritizes increasing the socio-political activity of women, strengthening their role in the government and society, increasing economic independence and ensuring the employment of women and young people, especially those living in rural areas.

Strong, trusted and accountable democratic institutions engaging citizens; a transparent and predictable legal environment; and eradicating corruption are key to building and maintaining social cohesion throughout the transition and the recovery from the COVID-19 crisis. However, **capacity gaps** both in the central bureaucracy of the ministries and regional-level administration remain an obstacle to the speedy and effective implementation of the reform agenda. A lack of effective counterweight to implementation issues at the level of the regional and national bureaucracies resulting from capacity gaps of the Oliy Majlis and the *kengashes* also remains an obstacle to the realization of Uzbekistan's reform agenda. **The key resulting challenge is that the legislative and oversight functions of the Parliament are not fully realized, both at national and regional levels.**

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<sup>1</sup><https://www.wfd.org/wp-content/uploads/2019/06/WFD-Report-on-Parliamentary-Practices-in-Uzbekistan-2019-in-English.pdf>

First, the **role of the Parliament in lawmaking and rulemaking process** is still nascent. For example, 38% of adopted legal acts have been developed by the Cabinet of Ministers, 33% by ministries and agencies, 17% - are legal acts by the President and only 5% - are laws and codes formulated by Parliament.<sup>2</sup> Moreover, because adopted legal acts are usually not self-implementing, supporting by-laws by ministries and agencies are required. Basically, the executive branch is leading the process of lawmaking and monitoring of implementation. An effective system of checks and balances implies the need for a more prominent role of the legislative branch in lawmaking and rulemaking, as well as in oversight of the lawmaking of other entities.

Secondly, there is scope to expand and systematize the **Parliament's oversight function**. By finding new ways of working to hold – on behalf of people – the Government to account for quality of reforms as well as pandemic response and recovery efforts, the Oliy Majlis can build trust among the public and establish itself as a key element of the system of democratic controls. Currently the oversight function is implemented in following forms: inquiries by senators and deputies, analytical activities of commissions, parliamentary hearings, parliamentary inquiries, and government hour (a newly introduced form of question time). However, such instruments as inquiries of senators and MPs, and parliamentary investigation are used to a very limited extent. Making these instruments available systemically, and improving capacities for their use, is indicated.

There is increasing role of the Parliament in monitoring the progress towards the SDGs with the newly established bicameral Parliamentary Commission on the Implementation of Sustainable Development Goals, led by the Head of the Senate. During its first sitting the Commission reviewed the draft Voluntary National Review Report of Uzbekistan, ahead its presentation to the HLPF. It is very important to ensure effective implementation of the parliamentary oversight of the SDGs. The reform agenda also makes oversight of budget and anticorruption policies essential at this point of development. Therefore, the Commission on the SDGs and the Committee on Budget and Economic Reforms, Judicial and Legal Issues and Anticorruption Reforms Committees present the most strategic opportunities for support.

Third, the representation function of the Parliament can be enhanced, including via better definition of and support for the respective roles and functions of the Oliy Majlis and the *kengashes* and their relationships and interactions with communities.

- ***COVID-19 crisis intensifying the need for revitalized democratic processes to bridge the gap between people and the state***

The COVID-19 pandemic has hit the world already facing a cascade of tipping points: social, economic, and scientific caused by complex and interconnected challenges we face globally. National parliaments, including in Uzbekistan, are facing an enormous challenge and opportunity at once to ensure that the long-term recovery does not stray from shared global compass of the SDGs.

The first confirmed case of the virus was detected in Uzbekistan on 15 March 2020. The Government took swift decisive actions and following confirmation of the outbreak, closed learning centers, cancelled all public gatherings and introduced more restrictive distancing measures leading to the closure of public transportation, non-essential businesses, and public spaces. With slight release of lockdown measures from mid-June, surge in new cases prompted Government to renew lockdown and support the already very stretched health system, despite the harsh effects on the economy and most vulnerable. On 15 May 2020, there were 2,652 confirmed COVID-19 cases, while in 2 months this number multiplied 7 times, reaching as of 17 July 15,607 cases.

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<sup>2</sup> Ibid

The crisis has progressively disrupted the economy, to a point where considerable domestic activities are now at a standstill. Initial estimates are that as of March 2020 about 475,000, or 85 percent of small businesses, have been temporarily closed and that 1.3 percent of the population, or 448,000 people, may already have fallen into poverty. As in all countries, the impact of the COVID-19 outbreak on the poorest and most vulnerable has been severe.

To rise to the simultaneous challenges of overseeing COVID-19 recovery and reforms, the Oliy Majlis will need to reinvent and reinvigorate its way of working. This requires it to reassert their role as vital democratic organ that legitimately determines and qualifies people's needs and ensures that these are met through government action during the volatile times ahead. Through effective representation and creating real opportunities for people's participation in its process, the Oliy Majlis can exercise stewardship over the vision for the future aligned with the 2030 and Uzbekistan's reform agendas.

The restrictions on face-to-face interaction during the COVID-19 crisis has intensified the need for parliament to establish new and systematic ways of engaging with the public, including in the online setting. At the same time, given the deep inequalities exposed by the pandemic, it is also critical to ensure the engagement of those at a risk of being left behind: digital engagement cannot be a one-size-fit-all answer to public engagement as it risks excluding entire groups based on demographic and geographic factors (i.e. people without access to internet and those with limited digital literacy).

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## II. STRATEGY

The current project document outlines an approach to advancing effective, accountable and inclusive governance in Uzbekistan through a strategy that brings together improving electoral processes and enhancing the representation and oversight roles of parliament. It builds on recent and existing initiatives, findings and lessons learnt, and provides a targeted yet phased approach to democratic strengthening in the country, towards strengthening effectiveness and efficiency of development programmes, especially those aimed at the achievement of SDGs and leaving no-one behind.

It is anchored on the theory of change that democratic processes in Uzbekistan could be advanced:

**if** the public are given the space and skills to effectively articulate their needs towards elected representatives;

**if** the Oliy Majlis and its members (and public officials in general) are able to respond in an agile manner to the evolving needs of the public and are aware of good practices and solutions to development issues, and equipped with leadership skills to advance new thinking and mediate across conflicting demands,

**if** the Oliy Majlis is supported in addressing gender inequalities, reducing the corruption risks provoked by weak and framework law-making and **if** checks and balances are effectively instituted and applied through effective oversight mechanisms, including in the budget process; and if the capacity of the Oliy Majlis and the regional kengashes to mainstream the SDGs in their processes is improved

**Then** Uzbekistan will be much more likely to strengthen the rule of law and reduce the space for corruption through more effective and transparent laws and legislation, and ensure transparent and accountable budgeting for SDG implementation; as well as to ensure better opportunities for women and girls in realization of their potential;

**Then** Uzbekistan's implementation of the SDGs the national reform agenda will benefit from a broader broad-based ownership, greater legitimacy and more accountable delivery and credibility of the Oliy Majlis with its own citizens will be stronger;

**Leading to** the progress of the Oliy Majlis towards its goal of becoming an inclusive and trusted SDG 16 institution, effectively serving the public interests,

**Leading** to better SDG and national reform outcomes, including for those previously excluded or left behind.

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### **III. RESULTS AND PARTNERSHIPS**

#### ***Expected Results***

The above assumptions are expected to lead to the following results:

- Oliy Majlis and regional *kengashes* have the tools and capacity to mainstream the SDGs within their processes
- Oliy Majlis has the tools and capacity needed to perform effective legislative scrutiny; promote gender equality through its core functions; reduce corruption through effective legislation and oversight; and exercise effective oversight of public finances
- More transparent, inclusive and effective innovative parliamentary processes through participatory engagement with citizens and stakeholders on SDGs

The project will advance democratic reforms in Uzbekistan through two integrated pillars: i) strengthening representation, legislation and oversight functions of the parliament; and ii) advancing digital transformation in parliamentary systems to support business continuity, public engagement, and oversight.

#### ***Parliamentary strengthening***

The outcome of the other two components is that the Oliy Majlis will play an enhanced role in legislating for, monitoring and promoting accountability for the 2030 Agenda, its Sustainable Development Goals, and related national commitments through responsive inclusive, participatory and representative decision-making processes, including enhanced engagement of women and civil society. Like all national parliaments, the Oliy Majlis has an opportunity, and a constitutional responsibility, to play a significant role in supporting and monitoring SDG implementation. To deliver on this mandate in the light of the challenges of the COVID-19 crisis and recovery as well as the country's ongoing reform, it is also facing a need to reinvent its ways of working.

The Oliy Majlis itself has recognized this opportunity and challenge; its Leadership has engaged in an ongoing consultation with UNDP Uzbekistan which has led to the formulation of the present proposal. The Oliy Majlis has expressed interest in and commitment to being part of the proposed initiative and has been proactive on the nomination of target committees and commissions. Regular consultations will continue throughout the project, leading to further definition and prioritization of activities according to the needs and priorities of the Oliy Majlis.

The project will support the Oliy Majlis to engage proactively in its country's reforms by strengthening the parliamentary institution, processes, and personnel; forming systematic partnerships with civil society; and providing a forum in which state institutions are held to account for their effectiveness and inclusiveness in the delivery of the services necessary to achieve the SDGs by 2030. Given the high pace of the anticorruption reforms and fiscal reforms, the focus will be on these two

commissions. To ensure effective oversight of SDGs support will also be provided to SDG commission.

The programme is envisaged for a longer- term engagement with the Oliy Majlis over a 5-year period from 2020-2025, covering the near-full parliamentary term. Engaging MPs from the outset is expected to be beneficial in terms of agenda setting and, specifically, planning and scheduling law-making and oversight work around the SDGs in the coming years.

From a programmatic perspective, a new parliament - with more than a half of 150 deputies in the Legislative Chamber serving for the first time – may present an entry point to meet the challenges presented by the reform agenda. New MPs and a significant increase in women and younger representatives may translate to greater willingness to move to new ways of working that conform more closely to international good parliamentary practice.

The secretariats and associated institutions, particularly human resources necessary to achieve the goals set out by the President can be expanded. Potentially, through appropriate analytical, research, and clerical capacity for their members. Similar concerns are reported at the level of the regional councils (*kengashes*), with the added complexity created by the multi-layered accountabilities of their *khokim* (regional governor). If the Oliy Majlis and the *kengashes* are not strengthened, an obstacle to implementation of the reform agenda – the lack, apart from the presidential administration, of any effective counterweight to implementation issues at the level of the regional and national bureaucracies – will continue to exist.

## **Output 1. Strengthened representation, legislation and oversight functions of the Parliament.**

*Activity 1.1. Enhance capacities of the Oliy Majlis and regional kengashes to support and monitor the implementation of the SDGs and related national reforms.* This will include the following:

- Identify and address in detail the structural, resourcing and capacity needs of the legislative bodies of Uzbekistan, including each chamber of the Oliy Majlis and the regional *kengashes* (referred to collectively henceforth for convenience as “Parliament”).
- Convene, in partnership with the Inter-Parliamentary Unit, a series of self-assessment exercises for the Parliament, using the methodology of the [UNDP/IPU SDG and Parliaments Self-Assessment Toolkit](#), which has been translated into the Uzbek language. The self-assessments will seek to identify in detail the challenges and opportunities faced by Parliament and its Members, committees and commissions, and the secretariat. Baselines will be established through focus group sessions, followed by evaluating existing efforts and effectiveness of SDG work, and developing recommendations for enhancing Parliament’s fitness-for-purpose and institutional capacity to engage on the SDGs.
- Develop roadmaps for building institutional capacity to promote and monitor SDG implementation, according to the methodology of the [UNDP/GOPAC/ISDB Handbook for Parliaments on the SDGs](#). Both methodologies aim to empower parliaments to assert national ownership of the problem analysis and its solutions, identify ways of promoting greater citizen engagement, and contain strong elements of gender mainstreaming.
- Conduct foundational capacity building for MPs on the SDGs and their related responsibilities and tools
- Prepare an SDG Parliamentary Action Plan and/or SDG implementation and monitoring tool.

*Activity 1.2 Enhance the gender mainstreaming capacity of the Oliy Majlis, including through:*

- Integrate gender-sensitivity component into the parliamentary SDG self-assessment to consider existing processes, mechanisms and rules from a gender perspective
- Support gender-sensitization of parliamentary strategic plans and policies

- Support compliance on CEDAW and related commitments (incl. political participation pillar of the WPS agenda) through training to MPs and technical staff on CEDAW using UN-IPU resources on gender mainstreaming in parliament
- Support systematization of gender mainstreaming in legislation through the development of:
  - a legislative gender sensitivity assessment guideline / toolkit
  - lawmaking procedure for all bills to undergo gender analysis

*Activity 1.3 Improve capacities and resources of Members of the Oliy Majlis and its selected Standing Committees to initiate, review and adopt effective legislation giving effect to the SDGs, and perform oversight of the implementation of laws and budgets by the Executive.*

This activity will target the **Budget and Economic Reforms Committee of the Senate; the Anti-Corruption and Judicial Affairs Committee of the Legislative Chamber; and the bi-cameral SDGs Commission to integrate the SDGs through more effective legislation.** This will include the following:

- Put in place levels of **research, analysis, and report-writing support** - reflective of international good practice for the committee. This will include capacitation on conducting **regulatory impact assessments**, as well as on conducting evidence-based analysis.
- Capacitate **the chair and members** of the targeted committee through a series of trainings on how best to effectively and inclusively discharge the legislative function, and other committee responsibilities. The component will support the development of **mid- and long-term legislative work plans**.
- Develop draft Rules of Procedures on parliamentary monitoring of activities of Government agencies and local administrations and expertise of their legal acts.
- Develop a step-by-step manual on the legislative process for MPs and staff, including guidelines to ensure coherence of legislative drafting and sample analyses of compliance with such requirements and guidelines.
- Support to enhancement of independence of and public trust in the Parliament through transparent processes in legislative consultations, formulation and communication, including through streamlining legislative process from drafting of the bill, to public hearings/consultations, subsequent amendments through committee debates, and final endorsement of the bill, all available on real-time basis in the Parliament's websites and mass-media.
- Building capacity of the Senate Budget and Economic Reforms Committee to carry out effective oversight throughout the annual budget cycle.
- Facilitate the hearings and consultations throughout the budget cycle, engaging the public and ensuring transparency.

*Activity 1.4: Enhance representation and relations between Members of Parliaments and Constituents.* This includes the following:

- Facilitate interaction of MPs with constituencies, local governments, business sector, and other stakeholders through: i) building capacities of MPs and secretariat members to cooperate with stakeholder groups to organize mobile public hearings in support of legislation in select regions and districts; ii) supporting introduction of digital tools including a well-maintained website of the Parliament and individual MPs to directly connect the public to MPs and Parliamentary Committees who can respond to their needs and concerns, for MPs to share their advocacies and performance, and online and mobile applications to allow direct feedback between constituents and parliamentary representatives.
- Support participation of stakeholder groups (e.g., women, youth, persons with disabilities) in public hearings for legislations and policy frameworks that are relevant to their well-being.



- Proactively engage with and support local networks of stakeholders and civil society organizations to ensure representation of their needs in the parliament.
- Support the establishment of processes for decentralized public hearings / mobile parliament/committee sessions.

## **Output 2. Modernized parliamentary systems to support business continuity, public engagement, and oversight**

The COVID-19 pandemic highlighted the need for agile systems and institutions that will allow public sector institutions and decision-making bodies to continue functioning effectively in the midst of disasters and lockdowns. The pandemic has also impacted elections in many countries, contributing to postponement or delays, reduced voter participation, and created serious public trust issues among elected officials in many countries. This output will include the following activities:

*Activity 2.1.: Support to the development of the strategy for digitalisation of Parliament, which will provide the long-term framework for digitalizing key functions of the Parliament, considering including the following:*

- i) establishing an open data platform and service that provides information on pending bills, existing legislations, MP performance, Parliamentary expenditures, among others;
- ii) a regulatory and procedural framework that will facilitate the engagement and participation of the Parliament and the MPs specifically through digital means, including allowing MPs to vote on critical measures remotely;

*Activity 2.2: Provide targeted learning and coaching to MPs and technical committees and staff on on-line data collection and analysis, digital transformation and approaches, and application of digital tools and technologies in parliamentary functions and procedures.*

*Activity 2.3: Enhance accountability through innovative digital technologies, enabling live online viewing of parliamentary debates, and publishing regular budgetary allocations and spending of MPs in the Parliament.*

### ***Resources Required to Achieve the Expected Results***

The project activities will be organized by the project team as well as experts. This project is funded by Funding Windows framework of UNDP, which is supported by Denmark, Luxemburg, Norway, Republic of Korea, Sweden, and Switzerland.

The majority of planned activities will foresee the analytical research, data analysis and preparation of Policy Papers, reports, preparing of draft legislative acts and other documents, etc. The Project will involve leading local and international experts in the main areas of activities. For this reason, Project will ensure the platform of constructive dialogue among national partners, ministries and departments, academia, local and foreign experts, including specialists from HQs and regional offices of UNDP and other UN Agencies.

When additional donor resources are mobilized, the project will also provide technical assistance on digital transformation of the Parliament, professional literature and subscriptions to leading international journals and other capacity building materials and tools.

### ***Partnerships***

In implementing the project, UNDP will seek active partnerships with relevant organizations and experts, particularly those with experience in working in Uzbekistan. The project will coordinate with

organizations such as OSCE and Council of Europe and seek partnerships wherever this is practical and possible, in order to benefit from specialized expertise and experience.

The project demonstrates complementarity with other engagement, with strong interest from the US, UK, EU, and Germany to engage in parliamentary development. Support from the funding windows will likely catalyse the CO's ability to set a broader, new area of programming, contributing to the strong positioning of UNDP in a rather new area, of democracy support and building inclusive institutions in Uzbekistan.

The project will have a **catalytical impact** broadening and strengthening UNDP partnerships and inclusive processes both within the UN and outside, including with emerging civil society organizations, towards the delivery of the Strategic Plan 2018-2021 in Uzbekistan. The proposal calls for 'supply side' support to the Parliament and complementary 'demand side' capacity building for civil society. The proposed pilot will use the SP's Signature Solution 2 to strengthen inclusive and accountable governance system in Uzbekistan by leveraging UNDP's extensive experience in integrated support to inclusive processes and institutions, governance innovation, resources it has produced over the years and past programming.

### ***Risks and Assumptions***

Neither the Oliy Majlis nor society will change immediately. The proposed initiative is based on an understanding that assistance needs to be both well-grounded in an understanding of the political environment and be systematic. It must consist of more than just a series of stranded events such as one-off knowledge exchanges. It requires an element of flexibility to adapt to changing political and social circumstance, and it is anticipated that it will also need a degree of modularity (to grow as more resources become available). Finally, it needs to be planned and implemented over a period of years, at least for the five-year term of the current Oliy Majlis, and evaluated for its impact over that entire period.

As recognized by the Common Principles for Parliamentary Support<sup>3</sup>, endorsed by the Oliy Majlis, the creation of an effective coordination mechanism, chaired by the Parliament itself, is essential for the implementation of this such assistance. Resources are precious and must be well-targeted, avoiding duplication.

### ***Stakeholder Engagement***

The following stakeholders are particularly important for achieving results throughout the project:

- Legislative Chamber of Oliy Majlis, comprising 150-members and 12 committees (with 9 to 16 members). Issues within the joint authority of both Chambers are considered, as a rule, first by the Legislative Chamber and then by the Senate. The exclusive powers of the Legislative Chamber include decisions related to the activities of the Legislative Chamber; adoption of the resolutions in political, social or economic areas, as well as on matters associated with internal or foreign policy of the state. Furthermore, approval of the candidates proposed by Prime Minister for the position of the member of the Government.
- Senate of Oliy Majlis comprising 84 members indirectly elected by 12 regional councils, the city of Tashkent and the Republic of Karakalpakstan, as well as 16 senators appointed by the President. The senate is composed of 7 committees. The exclusive powers of the Senate

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<sup>3</sup><https://www.undp.org/content/undp/en/home/librarypage/democratic-governance/common-principles-for-support-to-parliaments-.html>

include: election of the judges for the constitutional and supreme courts on the nomination of the president of the republic; appointment of the highest-ranking officials on the nomination of the president; decisions related to the activities of the Senate; adoption of the resolutions in political, social or economic spheres, as well as on internal or foreign policy. High influence, high interest.

- Secretariat and technical personnel of both chambers of the Oliy Majlis responsible for organisational, legal, informational, analytical, material-technical, administrative and budget activities
- The institute of legislative issues and parliamentary research under Oliy Majlis. Medium influence, high interest.

The project will impact indirectly the following groups:

- a. Voters, including vulnerable groups such as women, people with disabilities and first-time voters who will benefit of improved parliamentary procedures and processes.
- b. Non-governmental organisations and CSOs, which will be more actively involved in the Parliamentary processes

### ***South-South and Triangular Cooperation (SSC/TrC)***

This initiative will be also catalytic to build potential for South-South and Triangular cooperation and knowledge exchange in Central Asia. Collaboration opportunities are already being explored with INTER PARES, the EU Global Project to Strengthen the Capacity of Parliaments which facilitates peer exchanges between partner parliaments and the European Parliament. Partnership will also be sought with the International Parliamentary Union. The project will also collaborate with UNDP Oslo Governance Center. It is expected that the project will involve resources of the most of those countries with which Uzbekistan has a long-term strategic relationship. UNDP Regional hub for Europe and Central Asia in Istanbul, which has qualified personnel and experience of working with the countries of Central Asia and the CIS, is to become an important partner in dissemination of the best practices and techniques related to Parliamentary development.

### ***Knowledge***

In addition to soft component which includes capacity building for MPs and other concerned parties through trainings, round tables and seminars, knowledge and experience sharing will be carried out by the project through:

- Purchase of professional literature for the needs of members of Parliament;
- Online sharing of analytical information prepared by Project;
- Printing and publishing analytical materials, brochures, infographics and other digital content developed by Project;
- Professional translation of international treaties, except UN treaties texts and other documents into Russian and Uzbek languages;
- Upgrade of websites of the national partners to increase their value, make them more user friendly and improve their content;
- Press coverage of national partners and UNDP events supported by Project.

Whenever possible, the project will conduct presentations of project publications with a variety of project stakeholders. After the project completion, the tools, infographics, brochures and other literature created with the Project's support and intellectual contributions of experts will remain with the parliamentarians for their use.

### ***Sustainability and Scaling Up***

In localisation and integration of SDGs across the sectors, the project will be using existing long-term partnership contacts with the both Chambers of Oliy Majlis, which will enable the project to implement proposed activities in the framework of human rights-based cooperation with aforementioned institutions in all components of the project. This will also guarantee the sustainability of the results of project activities in the future, as aforementioned legislative bodies will be directly involved in the formulation and implementation of the actions proposed under the project and can influence its further replication and scale-up in future.

The project is categorized under GEN 2, with a cross-cutting goal to increase participation of women, youth and people with disabilities in decision-making throughout implementation. Through the cooperation with the the Parliament of Uzbekistan and other concerned stakeholders, the project will promote and advocate for the implementation of the law on Equal Rights and Opportunities for Women and Men and ensure the CEC adopts mechanisms for compulsory publication of gender disaggregated data when reporting on the inclusion of women in elections as per requirement of the 1997 UN CEDAW Committee's General Recommendation No. 23. The parliamentary component of the project will identify, convene and capacitate MPs and civil society to develop a methodology to assess the gender impact of legislation. In addition, the project will assure that gender representation and gender impact is considered in all the project's activities, including through gender analysis and maintaining records of project beneficiaries by gender.

The project will build on earlier parliamentary strengthening programming and support broad-based public consultation campaigns inclusive of vulnerable groups. By organizing meetings between MPs and civil society, including local CSOs, it will support the establishment of systematic knowledge exchange channels and feedback loops for SDG accountability; an important mechanism for ensuring that no one is left behind.

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## **IV. PROJECT MANAGEMENT**

### ***Cost Efficiency and Effectiveness***

Within many previous joint initiatives and projects UNDP had already effectively cooperated with the Parliament of Uzbekistan, including through the joint project "Support to enhancement of law making, rulemaking and RIA/ Phase-2 (RIA-2)" that is being undertaken now.

The project implementation will be conducted in an efficient manner, ensuring an innovative pan-governance approach and implementing in a coherent and synergetic manner electoral support and parliamentary development programming. Through this integrated approach, efficiencies of scale will be ensured, maximising results delivery with the limited available resources.

Funding window resources will be complementing the 294,925 USD mobilized from other sources during 2019-2020 (EAD 166,925 USD/Swiss Development Cooperation 46,000 USD for electoral support, and UNDP TRAC of 82,000 USD for both components).

UNDP will be working on aid coordination among other international organizations within regular meetings with participation of all major actors involved in supporting project activities to identify synergies and avoid overlaps. The Senate will help mobilize other donors and international partners to cost-share the project activities, especially, with regard to study-tours and visiting experts, as well as preparation of knowledge products. Cost -effectiveness has been factored into all planned project activities. Project will work to maximize the impact of each spent unit funds and to get quality results at the lowest possible cost using the principle of value for money.

### ***Project Management***

The project will be implemented under the full UNDP support to NIM. The Senate of Oliy Majlis of the Republic of Uzbekistan will be the Implementing Partner. The Senate will retain overall responsibility for this nationally managed project; the Senate will appoint the National Project Coordinator (NPC). Direct responsibility of the NPC will be provision of strategic advice and coordination of the project activity taking into account interests of the Department.

The project will be physically located in the Tashkent city. To ensure synergies and consolidation of efforts the project will work closely with other on-going UNDP projects on electoral assistance, human rights, women empowerment, regulatory impact assessment etc.

The procurement of goods and services and the recruitment of project personnel by the UNDP Country Office shall be in accordance with the UNDP regulations, rules, policies and procedures. The goods procured within the framework of the Project and necessary for the implementation of its activities, in particular IT equipment, software & office furniture shall be transferred to the ownership of the Implementing Partner, unless the Project Board decides otherwise or the goods have been procured from the funds provided by third parties and the agreements with them stipulate other arrangements. The relevant provisions of the Standard Basic Assistance Agreement (SBAA) between the Government of Uzbekistan & the UNDP, signed by Parties on 10 June 1993, incl. the provisions on liability and privileges & immunities, shall apply to the provision of such support services.

Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this document shall be handled pursuant to the relevant provisions of the SBAA.

**Audit Arrangements:** The Audit will be conducted in accordance with the established UNDP procedures set out in the Programming and Finance manuals by the legally recognized auditor.

**Use of institutional logos on project deliverables:** In order to accord proper acknowledgement to UNDP for providing funding, UNDP should appear on all relevant project publications, including among others, project hardware purchased with UNDP funds. Any citation on publications regarding projects funded by UNDP should also accord proper acknowledgement to UNDP. The UNDP logo should be more prominent – and separated from any other logo, if possible, as UN visibility is important for security purposes. The Project will not develop its own logo.

## Implementation Arrangements

The Senate and UNDP will be represented in the Project Board. The overall guidance and strategic decisions related to the project implementation will be made by the Project Board. The Project Board will be responsible for making by consensus management decisions for a project when guidance is required by the Project Manager, including recommendations for UNDP/ the Senate approval of project plans and revisions.

**The Project Management Unit** will handle day-to-day management of activities.

The Project Management Unit (PMU) will consist of the following experts and staff:

- **Project Manager** – National staff member, managing the project day-to-day. PM will have manager role in ATLAS, prepare AWP's and financial reports.
- **Task Manager**– National staff member, assisting the Project Manager.
- **Admin/Finance Assistant** – National staff member, supporting all administrative and financial aspects of the project.

In addition, a number of short-term national and international experts will be deployed to support specific aspects of the project implementation.

## Country Office support

The project will charge direct costs arising from services provided by the Country Office in the implementation of the project and include: (1) Payments, disbursements and other financial transactions; (2) Recruitment of staff, project personnel, and consultants, (3) Procurement of

services and equipment, and disposal/sale of equipment (3) Organization of training activities, conferences, and workshops, including fellowships (4) Travel authorizations, visa requests, ticketing, travel arrangements and ICT commons services; (5) Shipment, custom clearance, vehicle registration and accreditation; and, (6) the costs of maintaining and operating a Project Office.

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**V. RESULTS FRAMEWORK**

<b>Intended Outcome as stated in the UNSDCF/Country Programme 2021-2025 Results and Resource Framework:</b>								
UNSDCF/CPD OUTCOME 1: By 2025, all people and groups in Uzbekistan, especially the most vulnerable, demand and benefit from enhanced accountable, transparent, inclusive and gender responsive governance systems and rule of law institutions for a life free from discrimination, violence and threats								
<b>Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:</b>								
CPD Outcome 1:								
Output 1.3: Electoral and parliamentary processes and institutions strengthened to promote inclusion, transparency and accountability (modified IRRF 2.2.2.2)								
Indicator 1.3.1: Share of parliamentarians with enhanced capabilities in law-making, oversight and policy analysis (disaggregated by age and gender)								
Baseline (2020): 0								
Target (2025): 50%								
Source, frequency: Data of the State Statistics Committee, annual								
Indicator 1.3.2. Share of policy initiatives addressing needs of under-represented and marginalized groups, consulted by Parliament with interested groups								
Baseline (2020): 0; Target (2025): 30%								
Source, Frequency: Parliament Reports								
<b>Applicable Output(s) from the UNDP Strategic Plan:</b> Outputs 2.1, 2.2 and 2.4								
<b>Project title and Atlas Project Number: Advancing Deeper National SDGs Integration in the Parliament of Uzbekistan, project ID 00103946</b>								
EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>4</sup>	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)			DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	FINAL	
<b>Output 1. Strengthened representation, legislation and oversight functions of the Parliament.</b>	<b>1.1 Number of VNRs on SDGs reviewed and endorsed by Parliament</b>	<i>Reports by Parliament</i>	Number	2020	1	2	2	<i>Analysis of Parliament's news, post by media, official submissions of VNR reports to UN portal Risk – lack of data, delays in submission</i>
	<b>1.2 Number of Committees' hearings on implementation of National SDGs</b>	<i>Reports by Parliament</i>	Number	2020	5	7	12	<i>Analysis of reports by Committees of both Chambers Risk-lack of data</i>
	<b>1.3 Number of enquiries, submitted by MPs, on SDGs implementation</b>	<i>Reports by Parliament</i>	Number	2020	0	8	8	<i>Analysis of reports by MPs Risk-lack of data</i>
<b>Output 2. Modernized parliamentary systems to</b>	<b>2.1 Number of MPs, trained to use innovative digital tools to communicate with citizens on SDGs</b>	<i>Reports of Parliament</i>	Number	2020	0	50 (15% women)	50	<i>Training reports Risk – situation with COVID-19 may limit the space for offline trainings, and require online trainings</i>



<b>support business continuity, public engagement, and oversight</b>	<b>2.2 Availability of open data platform and service that provides information on pending bills, existing legislations, MP performance, Parliamentary expenditures</b>	<i>Reports of Parliament</i>	Yes/No	2020	No	Yes	Yes	<i>Web-metrics on open data portal Risk – limited open datasets, which may be not user-friendly and re-usable</i>
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<sup>4</sup> It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

## VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

The project will be subject to UNDP's monitoring and evaluation procedures. UNDP will as a part of project assurance role, regularly share its findings with the Project Board. Some of the methods that will be used in monitoring progress towards the outcome include:

- Project Board meetings for regular review of progress towards targets;
- Quarterly written assessment reports on progress towards targets;
- Based on the initial risk log, a project risk log shall be prepared and regularly updated;
- A project lessons learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organisation and to facilitate the preparation of the lessons learned report at the end of the project;
- The project will review the data quarterly and evidence collected on a regular basis and make corrections as required. Any significant programming corrections that require a decision will be raised at the next Project Board meeting. Progress data against the results indicators will be collected and analysed to assess the progress of the project in achieving the pre-defined outputs.

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
<b>Track results progress</b>	Progress data against the results indicators will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.		
<b>Monitor and Manage Risk</b>	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.		

	Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.				
<b>Learn</b>	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	Quarterly	Relevant lessons are captured by the project team and used to inform management decisions.		
<b>Annual Project Quality Assurance</b>	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
<b>Review and Make Course Corrections</b>	Internal review of data and evidence from all monitoring actions to inform decision making.	At least quarterly	Performance data, risks, lessons and quality will be discussed by the steering committee and used to make course corrections.		
<b>Project Report</b>	A progress report will be presented to the Project Board key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	Annually and at the end of the project implementation (final report)	Project team will prepare all reports, which will be reviewed and cleared by GGC Cluster before submitting to Project Board and donors.		
<b>Project Review (Project Board)</b>	The project's Board will hold regular project reviews to assess the performance of the project and review the Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Steering Committee shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Annually	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.		

## VII. MULTI-YEAR WORK PLAN <sup>56</sup>

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year	RESPONSIBLE PARTY	PLANNED BUDGET		
		2021		Funding Source	Budget Description	Amount
<b>Output 1: Strengthened representation, legislation and oversight functions of the Parliament.</b>  <i>Gender marker: Gen 2.</i>	1.1 Activity Enhance capacities of the Oliy Majilis and regional kengashes to support and monitor the implementation of the SDGs and related national reforms	20000	UNDP, Senate	Funding Windows (FW)	Development of actions programme on further enhancement of mechanisms for supporting and monitoring of SDGs and relevant national platforms through capacity building of Oliy Majlis and Local Kengashes  Preparation and publication of methodological manuals, brochures, leaflets and handouts for trainings to Secretariats of local Kengashes of people's deputies with involvement of experts and consultants Development of TOR for software (platform) to data exchange between Secretariats and center with involvement of external specialists and consultants  Organisation of trainings for secretariats of local kengashes of people deputies of Uzbekistan  Preparation and printing of handout materials for trainings	\$ 20000

<sup>5</sup> Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

<sup>6</sup> Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

	1.2 Activity Enhance the gender mainstreaming capacity of the Oliy Majlis	12000	UNDP, Senate	FW	Development of the Plan for further enhancement of mechanisms on capacity building of Oliy Majliy on gender mainstreaming Preparation and printing of methodological manuals, brochures, leaflets and handout materials for conducting trainings to women consultative councils under universities, SOEs, and state bodies with involvement of experts and consultants  Organisation of training for professional capacity development of staff of women consultative councils	\$ 12000	
	1.3 Activity Improve capacities and resources of Members of the Oliy Majlis and its selected Standing Committees to initiate, review and adopt effective legislation giving effect to the SDGs, and perform oversight of the implementation of laws and budgets by the Executive	0	UNDP, Senate	FW	Development of Actions programme on further advancement of mechanisms on capacity building of MPs and standing committees for initiation, analysis and adoption of effective legislation  Organisation of trainings for MPs	0	
	1.4. Activity Enhance representation and relations between Members of Parliaments and Constituents.	5000	UNDP, Senate	TRAC	Development of actions programme on further enhancement of representative functions and relations among MPs and voters, including working on appeals and petitions of citizens and legal entities  Development of TOR for software (platform) on registration and oversight on processing of appeals of citizens by involving external specialists and consultants	\$ 5000	
	MONITORING	4000	UNDP	TRAC		\$ 4000	
	<b>Sub-Total for Output 1</b>					<b>\$ 41,000</b>	
<b>Output Modernized parliamentary systems</b>	<b>2: to</b>	2.1 Activity Support to the development of the strategy for digitalisation of Parliament	60000	UNDP, Senate	FW	Development of Strategic plan of digitation of Parliament  Development of TORs and software solutions (platforms) for e-parliament through involvement of external specialists and consultants	\$ 60000

<b>support business continuity, public engagement, and oversight</b>  <i>Gender marker: Gen 2.</i>	2.2 Activity Provide targeted learning and coaching to MPs and technical committees and staff on on-line data collection and analysis, digital transformation and approaches, and application of digital tools and technologies in parliamentary functions and procedures	0	UNDP, Senate	FW	Development of actions programme on further enhancement of mechanisms for ensuring targeted education of MPs, technical committees, and staff on online data collection and analysis, digital transformation and approaches, as well as application of digital instruments and technologies in parliamentary functions and procedures  Organisation of trainings for professional capacity development of MPs, technical committees and staff	0
	2.3 Activity Enhance accountability through innovative digital technologies, enabling live online viewing of parliamentary debates, and publishing regular budgetary allocations and spending of MPs in the Parliament	5000	UNDP, Senate	FW	Development of actions programme on further enhancement of mechanisms for improving accountability with use of innovative digital solutions, ensuring online livestream of parliamentary debates Modernisation and upgrade of web-site of Senate with involvement of external consultants	\$ 5000
	2.4. Activity Digitalization of data exchange between secretariats and Center	10000	UNDP, Senate	FW	Development of software (platform) on data exchange between secretariats and center with involvement of external specialists and consultants	\$ 10000
	2.5. Activity Digitalization of gender mainstreaming issues	5000	UNDP, Senate	FW	Modernisation and upgrade of website with involvement of external specialists and consultants	\$ 5000
	2.6. Activity Digitalization of representative functions and relations (digital interaction) among MPs and voters	8000	UNDP, Senate	FW	Development of software on registration and oversight on citizens appeals handling, with involvement of external specialists and consultants	\$ 8000
	Project staff costs	25000	UNDP	TRAC, FW	Staff salary	\$ 25000
	Office supplies, equipment, furniture etc.	12500	UNDP	FW	ICT (Screen on tripod or on wall, LCD projector, PCs, color printer, scanner, furniture (table for PCs, shelf, interactive board, table for negotiations and discussions)	\$ 12500
	Direct project support	14341	UNDP	FW/TRAC	CO Staff time	\$ 14341
	<b>Sub-Total for Output 2</b>					<b>\$ 139841</b>
<b>Evaluation (as relevant)</b>	EVALUATION	0				0
<b>General Management Support</b>		9159	UNDP	FW		\$ 9159

TOTAL			\$ 190,000
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## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The Project will be undertaken using UNDP's National Implementation Modality (NIM) with CO support.

The Project Board will be co-chaired by the Chairperson of Senate and the UNDP Resident Representative. The Project Board will be responsible for making by consensus management decisions for the project when guidance is required by the Project Manager, including recommendation for UNDP/Senate approval of project workplans, budget and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure best value for money, fairness, integrity transparency and effective international coordinating. Other stakeholders, particularly from the government and civil society, maybe invited to participate as well.

Detailed roles and responsibilities of the Project Board are provided in Annex 2 of this Project Document.

This Board contains three roles, including:

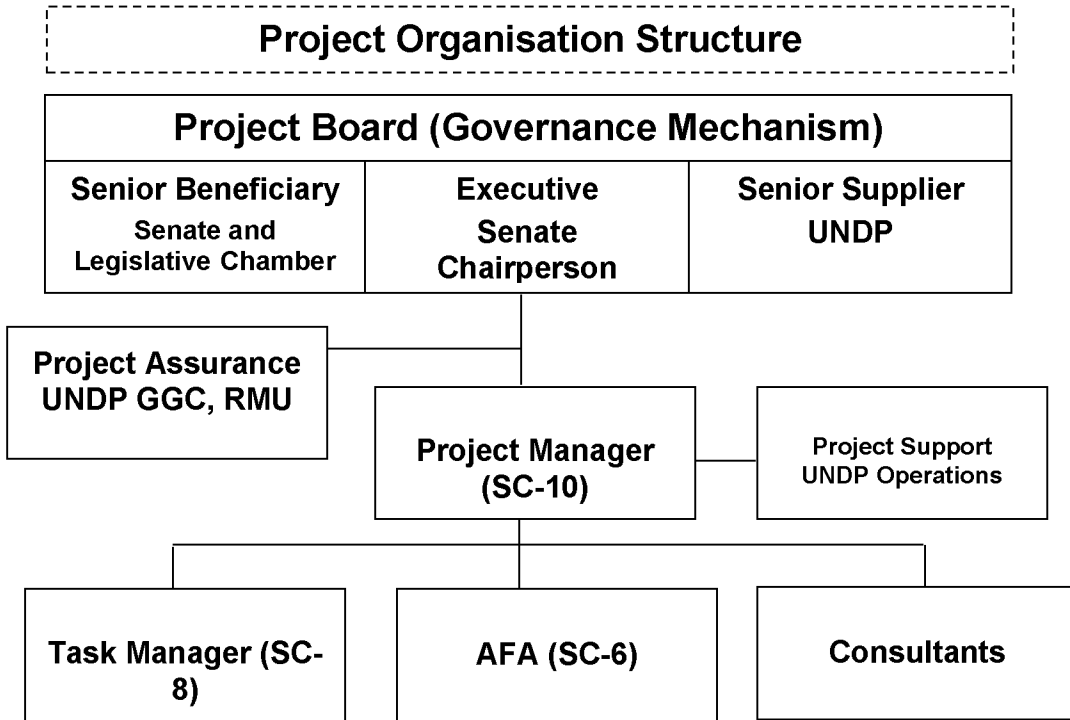
- 1) An Executive: Senate of Oliy Majlis representing the project ownership.
- 2) Senior Supplier: UNDP Resident Representative (CO Uzbekistan) representing the interests of the parties concerned which provide funding and/or technical expertise to the project. The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project.
- 3) Senior Beneficiaries: Senate and Legislative Chamber of Oliy Majlis 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.

Project Assurance is the responsibility of each Project Board member, however the role can be delegated. The Project Assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. UNDP will have a key role in the quality assurance of the project, including from ACPIS, Regional Hub and CO Uzbekistan.

The Project Support role provides project administration, management and technical support to the Project Manager as required by the needs of the project. It is necessary to keep Project Support and Project Assurance roles separate in order to maintain the independence of Project Assurance.

The Project Board will convene at least annually to hold regular project reviews to assess the performance of the project, achievement of targets and review of the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In advance of such meetings, UNDP shall provide an Annual Status Report on the project's progress and financial expenditures/budget.





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## IX. LEGAL CONTEXT

Legal Context:

- Country has signed the Standard Basic Assistance Agreement (SBAA)
- Country has signed UNDAF Legal Annex in 2016

2. Implementing Partner:

- Senate of Oliy Majlis of the Republic of Uzbekistan

This project document shall be the instrument referred to as such in Article I of the Standard Basic Assistance Agreement (SBAA) between the Government of Uzbekistan and UNDP, signed on June 10, 1993.

All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by the Senate ("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.

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## X. RISK MANAGEMENT

### Government Entity (NIM)

1. Consistent with the Article III of the SBAA *[for the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
  - a) 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;
  - b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.
2. 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 Implementing Partner's obligations under this Project Document.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document 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/qa\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/qa_sanctions_list.shtml).
4. The Implementing Partner acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the Implementing Partner, and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.
  - (a) In the implementation of the activities under this Project Document, the Implementing Partner, and each of its sub-parties referred to above, shall comply with the standards of conduct set forth in the

Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").

(b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, the Implementing Partner, and each of its sub-parties referred to above, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment.

5. a) In the performance of the activities under this Project Document, the Implementing Partner shall (with respect to its own activities), and shall require from its sub-parties referred to in paragraph 4 (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, the Implementing Partner will and will require that such sub-parties will take all appropriate measures to:
    - i. Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
    - ii. Offer employees and associated personnel training on prevention and response to SH and SEA, where the Implementing Partner and its sub-parties referred to in paragraph 4 have not put in place its own training regarding the prevention of SH and SEA, the Implementing Partner and its sub-parties may use the training material available at UNDP;
    - iii. Report and monitor allegations of SH and SEA of which the Implementing Partner and its sub-parties referred to in paragraph 4 have been informed or have otherwise become aware, and status thereof;
    - iv. Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
    - v. Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. The Implementing Partner shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties referred to in paragraph 4 with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the Implementing Partner shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.
  - b) The Implementing Partner shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the Implementing Partner, and each of its sub-parties referred to in paragraph 4, to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.
6. 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>).
  7. The Implementing Partner shall: (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.

8. 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.
9. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner 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.
10. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner 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).
11. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes in accordance with UNDP's regulations, rules, policies and procedures. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', 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 the Implementing Partner to find a solution.
12. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

13. The Implementing Partner agrees that, where applicable, donors to UNDP (including the Senate) whose funding is the source, in whole or in part, of the funds for the activities which are the subject of this Project Document, may seek recourse to the Implementing Partner 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.

14. Each contract issued by the Implementing Partner 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 the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
15. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Senate 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.
16. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

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## **XI. ANNEXES**

- 1. Project Quality Assurance Report**
- 2. Social and Environmental Screening Template.**
- 3. Risk Analysis.**
- 4. Capacity Assessment:**
- 5. Project Board Terms of Reference and TORs of key management positions**