

## PROJECT DOCUMENT

Project number and title: UZB/02/001/07 - Advisory Services to the Government of Uzbekistan for the Drought Prevention and Mitigation

Start date: 1 May 2002

Estimated end date: 31 December 2002

Executing Agency: Government / Ministry of Macroeconomics and Statistics

Project sites: Tashkent, Karakalpakstan and Khorezm province

UNDP sector and subsector: Humanitarian assistance and disaster management - Disaster prevention and preparedness

Primary type of intervention: Disaster management

Primary target beneficiaries: Government/ Govt. Organizations

Government cost-sharing: In kind contribution (office space and communications)

<b>PROJECT FINANCING</b> (as per attached budget)	
<u>Rev. A:</u>	
<b>UNDP Inputs:</b>	
TRAC 1.1.3:	US\$ <del>XX</del> 114,000
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<b>Total Inputs:</b>	<b>US\$ <del>XX</del>114,000</b>
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<b>TOTAL:</b>	<b>US\$ <del>XX</del>114,000</b>

### **Brief Description:**

As UNDP's response to a severe drought that is directly affecting more than 500,000 rural inhabitants in the north-western areas of Uzbekistan, the project aims at assisting the Government in developing an immediate, medium and long-term drought recovery and mitigation framework and intends to provide advice to the central and regional authorities in planning and implementing the preventive measures.

ON BEHALF OF	NAME AND TITLE	SIGNATURE	DATE
The Government	Mr. Bakhodir Khodjaev Deputy Minister of Macroeconomics and Statistics	_____	_____
The UNDP	Mr. Richard Conroy Resident Representative	_____	_____

## **A. CONTEXT**

### **A1. Summary**

The north-western areas of Uzbekistan have been suffering from a severe drought and related water shortage for three consecutive years. The affected territories include the autonomous Republic of Karakalpakstan and Khorezm province located in the lower reaches of the Amudarya river. The drought conditions have been increasingly deteriorating over the last few years and are most likely to continue beyond 2002.

The massive drought has posed significant threats to human security in the region, and UNDP/Uzbekistan has been requested by the donor community to act as the international focal point for the drought relief assistance, and in this capacity, to support the Government in its efforts to coordinate the relief activities.

Following the Government's appeal to the UN Under Secretary General for Humanitarian Affairs and UNDP Administrator, a joint OCHA-UNDP drought assessment mission was fielded to Uzbekistan in July 2001. The mission confirmed the acuteness of the situation and proposed a number of immediate, medium and longer-term mitigation measures, one of those being the deployment of a drought mitigation advisor.

### **A2. Background and rationale**

Uzbekistan is a drought prone country with much of its territory comprised of mountainous (20 percent) and arid/semi-arid areas (70 percent). The north-western territories of the country - the autonomous Republic of Karakalpakstan and Khorezm province - suffer from the third consecutive year of the drought. This region is located in the delta and lower reaches of the Amudarya river, also known as the disaster area due to the drying up of the Aral Sea. As a result of extensive use of water resources from the Amudarya river basin for the development of irrigated agriculture between 1965 and 1990, the water level in the Aral Sea has dropped to 38 meters, and its volume decreased from 1062 to 323 cubic kilometers leading to the emergence of a salty desert with an area of 38 thousand square kilometers.

#### **Box 1: Uzbekistan: Basic Figures**

Population:	24.5 million
Total area:	444.7 thousand square km
Arid and semi-arid areas:	320 thousand square km
Drought prone areas:	Up to 80% of all territory
Rural population:	15 million
Agricultural output in GDP:	30% (up to 70% with agriculture-related industries)

#### **Drought-affected area:**

Total area affected:	171.2 thousand square km
Area population:	2.8 million
Urban population:	1 million
Rural population:	1.8 million
Total irrigated land:	759.6 thousand ha

Uzbekistan is a country of irrigated agriculture. This is particularly true for the drought-affected areas that largely depend on the Amudarya river flow. Located in the lower reaches of the river, the irrigated lands in Karakalpakstan and Khorezm province are under continuous threat of declining water supply and crop losses. During 2000 water inflow to the delta of the Amudarya river amounted to about 40% of multi-year annual average, which caused the destruction of entire rice crops and big losses to agriculture and associated industries. Water supply situation in 2001 manifested the continuation and further deterioration of the drought and water shortage. The accumulation of precipitation during November-March 2000-2001 in the mountainous upper river basin stood at 50-60% of the normal condition, while the snow accumulation was 50-70% of the 2000 level and only 20-30% of the average norm. The forecasts for 2002 suggest further decrease in the river flow, and the related aggravation of water supply situation in terms of agricultural activity and human consumption.

Agriculture accommodates up to 40% of the total population employed in the region. Due to severe shortage of irrigation water, cropped areas have been reduced by half, and about 100 thousand agricultural workers have become unemployed for the current agricultural season. With an average number of people in a family, this brings the total population affected to more than 500 thousand people without stable sources of income. The livelihood conditions further deteriorate in the cold winter season with households having depleted their limited food stocks.

The current situation is further aggravated by a severe shortage of safe drinking water that is especially evident in rural areas. The affected areas are not fully covered by centralized water distribution networks, and potable water for remote villages has to be trucked or, where possible, supplied by installing hand water pumps. Limited amounts of ground water available are often unfit for human consumption due to extremely high salinity levels. Significant part of the population has to consume water from unsafe surface sources.

In May 2001, the Government sent an appeal for emergency assistance to UNOCHA, UNDP and the World Bank. In response to the appeal, OCHA and UNDP's Emergency Response Division have fielded a joint drought assessment mission to Uzbekistan on 1-7 July 2001. The mission was supported by the field participation of specialists from the WHO. The mission concluded that "the protracted character of the drought conditions led to an increasingly precarious situation. Characteristics of the present conditions include: sharply reduced access to clean drinking water and water for other domestic purposes, deteriorating health and sanitary conditions, reduced access to food, massive unemployment among rural agricultural workers causing initial emigration movements primarily by those looking for labor opportunities outside the affected areas." The mission also concluded that "the humanitarian situation is likely to deteriorate in the short and medium term."

The country has been able to make considerable progress both in terms of mobilizing internal as well as external resources to mitigate the negative impact of the drought. Notwithstanding the response measures taken, the situation in the affected areas remains critical. There is a clear need to continue support in this critical area and concentrate on medium and longer-term measures, as well as strategic and preventive aspects for a better preparedness for this type of emergency conditions.

### **A3. Prior and ongoing assistance**

Following the occurrence of the drought in 2000, UNDP facilitated the deployment of a FAO/WFP drought assessment mission. UNDP has since then been providing support to the Government in its coordination and information-sharing function and acted as the international focal point for the relief assistance, which included, inter alia, the provision of support to donors in the delivery of humanitarian aid. In April 2001, in response to the Government's appeal for UN assistance, UNDP initiated and facilitated the UNOCHA-UNDP drought assessment mission, and shared its findings with the international donor community.

Jointly with the Government, UNDP has organized a number of donor round table meetings, where the Government and international community have come together to discuss ways of mitigating the impact of the continuing drought on the people's livelihood, and to develop collaborative efforts to mitigate the crisis. UNDP has also been monitoring the aid flows and updating an international drought response matrix.

UNDP's field assistance included an emergency relief project (with total budget of US\$ 150,000, including US\$ 50,000 from TRAC 1.1.3 resources), which dealt with the procurement and installation of hand water pumps in three districts of Karakalpakstan that had been most affected by the drought and water shortage. The project is now completed having resulted in providing means of water supply to some 10 thousand rural inhabitants.

Furthermore, within UNDP's past project interventions, a core group of national counterparts has been defined to advance the proposed disaster risk management agenda both at the central and local levels. Though the whole concept of shifting the focus from reactive relief to proactive preventive development is somewhat new for the country, there has been a number of clear indications on part of the Government to pursue such preparedness planning. UNDP's recent drought mitigation project has been fairly successful in raising the awareness and mobilizing the attention of national partners to integrating risk management into the planning frameworks. There is thus a capacity at entry point to pursue further sensitization and strategizing of preventive development.

In line with its mandate of the international focal point for the drought relief assistance to Uzbekistan, UNDP has been involved in the implementation of a number of emergency response projects, such as the OCHA food supply grant and airlift of water supply equipment. Another food supply project is currently underway using the cost-sharing contribution provided by the Swiss Development Cooperation Agency.

## **B. Strategy for Use of UNDP Resources**

As part of support to the longer-term rehabilitation and preventive planning and within the framework of this TRAC 1.1.3 project, UNDP will deploy a drought prevention and mitigation advisor, who will develop, jointly with national counterparts, a drought mitigation and recovery framework containing practical measures to respond to the needs of the affected population. The advisor will also support the Government in preparing an integrated national strategy on drought risk management with an emphasis on preventive approaches.

The project activities will be synergized with UNDP's ongoing support for the integrated disaster risk management with an emphasis on preventive aspects. Drought mitigation and disaster risk management will be the core idea of a separate component within UNDP's UZB/01/004 Development Support Services Programme (currently at the preparatory assistance phase). Using the continuing drought situation in north-western areas of the country as an entry point, the objective of the programme component will be to strengthen national disaster preparedness and prevention capabilities in order to anticipate similar emergency situations before they happen, and to mitigate the negative effects of crises when they occur.

The programme component of UZB/01/004 Development Support Services Programme will specifically aim at developing an integrated national strategy for disaster preparedness and mitigation on the pilot basis of the national plans and frameworks elaborated in response to the drought and water shortage in the autonomous Republic of Karakalpakstan and Khorezm province. The interventions under this programme component will specifically target the drought-affected areas in the Republic of Karakalpakstan. Apart from assisting the central and local Governments in developing such an integrated strategy, the programme component will design and test practical mitigation tools as pilot activities that could be further replicated to cover larger areas and target groups. These pilot approaches would respond to the needs of the affected

population and primarily include innovative employment generation tools such as labor-intensive public works schemes. In the context of the continuing drought and water shortage, these pilot activities will target the temporarily jobless agricultural workers and other low-income rural residents.

## **C. Objectives and Expected Results**

### **C1. Development objective**

Assist the Government in developing an immediate, medium and long-term drought recovery and mitigation framework and provide practical advice to the central and regional authorities in planning and implementing the preventive measures.

### **C2. Immediate objectives**

1. Analyse existing national policies related to the drought mitigation, and propose clear-cut and practical measures to respond to the immediate needs of the affected population as well as to address longer-term causes of the drought.
2. Provide advice to the Government in developing an integrated national strategy on drought mitigation with an emphasis on preventive aspects, and strengthen the drought prevention and mitigation capabilities of the Government of Karakalpakstan.
3. Develop local monitoring mechanisms to follow the dynamics of the drought situation in multi-sectoral perspective and to pursue targeted and systematic awareness building and advocacy activities.

### **C3. Expected outputs and indicators**

1. Comprehensive assessment of the urgent needs of the affected population conducted, and a set of project proposals developed jointly with local authorities and civil society organizations for donor funding.  
*Indicator(s): Assessment report produced and widely disseminated; project proposals developed and at least 50 percent of those funded by donors (possible objectives of the project proposals may include the improvement of potable water supply in rural areas at community level, short-term employment through public works programmes, infrastructure development and rehabilitation, etc.).*
2. Substantive assistance provided to the Government in the formulation of a national strategy on drought mitigation with an emphasis on preventive aspects, and further capacity building interventions designed to support the implementation of the strategy.  
*Indicator(s): Suggested medium and long-term policy measures incorporated into the drought prevention and mitigation strategy, and a project document formulated to improve the capacity of the Government of Karakalpakstan to prevent and mitigate the drought and water shortage.*
3. National capacity enhanced to better monitor the developments of the drought-related conditions, coordinate various relief and recovery activities, attract and better manage external resources.  
*Indicator(s): Status reports produced and widely disseminated covering the economic and agricultural activity in the field, the humanitarian situation of the affected population groups, and the impact of relief and recovery activities; regular Government-Donor round tables organized; flexible funding mechanisms (such as national thematic trust funds) developed for donors.*

## **D. Inputs**

### **D1. Personnel**

- a) International Drought Prevention and Mitigation Advisor -- 6 w/m
- b) Short-term international consultants -- 2 w/m
- c) Translator/interpreter -- 6 w/m
- d) Short-term national consultants -- 2 w/m

### **D2. Equipment**

- a) One set of computer equipment (PC, printer and network accessories)

### **D3. Other inputs**

- a) In-country travel costs
- b) Evaluation and monitoring visits (BCPR backstopping)
- c) Reporting costs
- d) Sundries

## **E. Management**

### **E1. Implementing arrangements**

The National Execution (NEX) modality will be applied to this project. The Ministry of Macroeconomics and Statistics (MMES) will be the executing agency for the project, and will appoint one of its key officials to be the National Project Coordinator (NPC). The NPC will provide substantive guidance and support to project implementation and will coordinate inputs of other Government institutions involved in the project activities.

In full consultation with the Government, UNDP will support project implementation in recruiting personnel and procuring other necessary inputs within the limits of the project budget. With regard to the provision of such assistance, UNDP is authorized to incur expenses stipulated in the project budget, and will be financially accountable under its own rules and regulations.

The operational support to project activities will be provided by UZB/01/004 Development Support Services Programme. The project work planning and reporting will be integrated within the activities of the relevant programme component of UZB/01/004 Development Support Services Programme.

## **F. Monitoring and Evaluation**

An overall monitoring, review and reporting system will be in place to ensure compliance with relevant UNDP procedures. This system will provide input for the Results-Oriented Annual Report (ROAR) and will involve all stakeholders.

Project progress will be monitored through bi-monthly reports of the Drought Prevention and Mitigation Advisor to the Government and UNDP. The reports will cover substantive aspects of the project activities. The reporting will ensure that the project is responding to its objectives in an effective manner. An essential input for progress monitoring and evaluation will be provided by BCPR (Bureau for Crisis Prevention and Recovery) through its monitoring missions.

The project planning and reporting function will be facilitated by UZB/01/004 Development Support Services Programme that will feature the project activities in consolidated programme workplans and quarterly reports.

The project will also be subject to a Terminal Tripartite Review, which will assess the progress of the project against the planned outputs and indicators.

## **G. Risks**

Main risks involved include possible orientation of the drought prevention strategy to mitigation aspects only, or inadequate linkage of the strategy to sectoral and regional planning process. To address these risk factors, stakeholders should initiate a broad-based dialogue involving key decision-makers, public organizations and mass media. In parallel to capacity building within central and local Government, the outreach and advocacy campaign should use comparative analysis to emphasize the preventive aspects in overall harm reduction.

Delays in project activities are another possible risk that needs to be managed by realistic and participatory task planning on part of the Government.

## **H. Legal Context**

This project document shall be the instrument referred to as Article 1 of the SBAA between the Government of Uzbekistan and UNDP, signed on 10 June 1993.

The following types of revisions may be made to project documents with the signature of the UNDP Resident Representative only, provided he/she is assured that the other signatories of project documents have no objections to the proposed changes:

- Revisions in, or addition of, any of the annexes of project documents;
- Revisions which do not involve significant changes in the immediate objectives, outputs or activities of projects, but are caused by the rearrangement of inputs already agreed to or by cost increases due to inflation; and,
- Mandatory annual revisions that rephrase the delivery of agreed inputs, or increased expert or other costs due to inflation, or which take into account agency expenditure flexibility.

Revisions of project documents that involve substantive review or addition of programme components (including the decisions that have budgetary implications) will require the signature of the UNDP Resident Representative and national project executing agency.