

United Nations Development Programme

Country: Uzbekistan

Project Document

Project Title	Sustainable Management of Water Resources in rural areas in Uzbekistan: <u>Technical Capacity Building</u> (Component 2)
UNDAF Outcome 6:	By 2020, rural population benefit from sustainable management of natural resources and resilience to disasters and climate change.
CPD Output 2:	Water supply/efficiency of water resource management improved at national/basin/ farm levels
Expected Output(s): <i>(Those that will result from the project)</i>	Water management services, practices and techniques are strengthened and harmonised within a national framework.
Implementing Partner:	Ministry of Agriculture and Water resources of the Republic of Uzbekistan
Responsible Parties:	UNDP Uzbekistan

Brief Description

EU Programme on “Sustainable Management of Water Resources in rural areas in Uzbekistan” aims to provide further assistance in the water sector of the Republic of Uzbekistan and consists of three interlinked components:

- Component 1 on “National Policy Framework for Water Governance and Integrated Water resources Management (IWRM)”.
- Component 2 on “Technical Capacity Building”.
- Component 3 on “Awareness Raising”.

The proposed Programme focuses on water efficiency with special emphasis on water use in agriculture. Throughout these three components, and from different levels, the programme aims at strengthening institutional and technical capacities for water management at national, basin and farm level while increasing the awareness on rational water use and related resources.

UNDP in Uzbekistan will be responsible for implementation of Component 2 (hereinafter the project) on “Technical Capacity Building”, which will focus on building capacities in water efficiency in rural areas with special emphasis on water use in agriculture. The project aims at strengthening institutional frameworks and technical capacities for water management at basin, water user association and farm levels while increasing the awareness on effective rational water use.

<p>Programme Period: UNDAF <u>2016-2020</u></p> <p>Key Result Area (Strategic Plan): Outcome 1</p> <p>Atlas Award ID: 00080811</p> <p>Start Date: Jan. 1, 2016 End Date: Dec. 31, 2019</p> <p>PAC Meeting Date: Feb. 19, 2016</p> <p>Management Arrangements: National Implementation Modality (NIM)</p>	<p>Total resources required</p> <p>Total allocated resources: 5,682,456 USD¹</p> <ul style="list-style-type: none"> • Regular (UNDP): 200, 000 USD • Other: <ul style="list-style-type: none"> ○ EU: 5 million EURO ○ Government: In-kind contributions by the Ministry of Agriculture and Water resources of the Republic of Uzbekistan (project office premises)
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¹ UN Operational Rates (UNORE) as of March 1, 2016 (1 USD = 0.912 EURO)

Agreed by (Government): Ministry of Agriculture and Water resources of the Republic of Uzbekistan

Mr. Shavkat Khamraev ✓ [Signature] 1-4 APR 2016
NAME SIGNATURE DATE

Agreed by UNDP:

Mr. Farid Garakhanov, Resident Representative a.i. [Signature] 1-4 APR 2016
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LIST OF ABBREVIATIONS

ADB	Asian Development Bank
AFA	Administrative and Finance Assistant
AWP	Annual Work Plan
BISA	Basin Irrigation System Authority
CPD	Country Programme Document
DRR	Deputy Resident Representative
ERC	Evaluation Resource Center
EU	European Union
FAFA	Financial and Administrative Framework Agreement
FAO	Food and Agricultural Organization of UN
FAO-AquaStat	FAO's global water information system
GIZ	German International Cooperation Agency
I&D	Irrigation and Drainage
ISA	Irrigation System Authority
IAWG	Inter-Agency Working Group
IWRM	Integrated Water Resources Management
M&E	Monitoring and Evaluation
MAWR	Ministry of Agriculture and Water Resources
MoE	Ministry of Economy
MoF	Ministry of Finance
NGO	Non-governmental Organization
NIM	National Implementation Modality
NPC	National Project Coordinator
NTA	National Technical Advisor
PAC	Project Appraisal Committee
PB	Project Board
PIU	Project Implementation Unit
PM	Project Manager
PMO	Project Management Office
PSC	Programme Steering Committee
QPR	Quarterly Progress Report
RR	Resident Representative
SDC	Swiss Development Cooperation
SDG	Sustainable Development Goals
SRIIWP	Scientific Research Institute of Irrigation and Water Problems
TAPs	Technical and Administrative Provisions
TIIM	Tashkent Institute of Irrigation and Melioration
ToR	Terms of Reference
ToT	Training of Trainers
TSAU	Tashkent State Agrarian University
UARPC	Uzbek Agricultural Research and Production Center
UNDAF	UN Development Assistance Framework
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific, and Cultural Organization
UNESCO-IHE	UNESCO Institute for Water Education

USD	United States Dollars
WB	World Bank
WG	Working Group
WUA	Water Users Association

I. SITUATION ANALYSIS

Uzbekistan's population is around 30 million people, with approximately half of which live in rural areas. Since gaining independence in 1991, Uzbekistan has implemented reforms aimed at creating a modern, diversified economy able to compete in world markets, distribute income fairly, and improve education, health, and other socially significant services.

Uzbekistan is a semi-arid country that receives 85% of its total water supply from neighbouring upstream countries. At downstream, Uzbekistan uses the water from two main transboundary rivers (Syrdarya and Amudarya) for its agriculture. The country is heavily dependent upon irrigated agriculture, which accounts for some 25% of GDP. Agriculture employs directly or indirectly about 40% of the total population of Uzbekistan and depends almost entirely on irrigation of all major crops. Around 90% of the water resources are used for irrigation.

The irrigation systems need strengthening and effective functioning in terms of water use efficiency and energy consumptions. Water is conveyed to farmers through an extensive network of primary and secondary canals.

During the soviet times, the maintenance and operational costs amounted to 70% of the total yearly expenses and 30% of the finances covered the costs of energy consumption. These proportions are just the opposite today. There is a need to save on power through modernization of pumping systems that would progressively reduce power consumption. Infrastructure investments are taken almost exclusively within the supply side, i.e. increased pumping and conveyance capacities. This current *"supply" approach* in agriculture is followed by further needs for increased drainage pumping capacities, which causes more salinization and contributes to extending the waterlogged areas.

Water management hierarchy

Ministry of Agriculture and Water Resources has overall responsibility for water resources management, i.e. for the development, operation and maintenance of irrigation and drainage infrastructure. A reorganisation in 2003 resulted in a transfer from a provincial and district administrative scheme to a water basin set-up in which irrigation and drainage systems are managed by basin irrigation system authorities (BISAs), where each BISA (10 in total) is structured according to main irrigation canals and divided into irrigation system authorities (ISAs).

BISAs operate the water infrastructure in the river basins such as water reservoirs, dams, water intakes (gravitational and pumps), and riverbed protections. ISAs operate at canal levels and drainage networks in the irrigation systems, operate the pumps and deliver water to the WUAs. WUAs comprise the farmers as members of the associations and should take care of the canals and other water infrastructures distributing water amongst the farms. Fees for water delivery services are collected in accordance with supplied water volume.

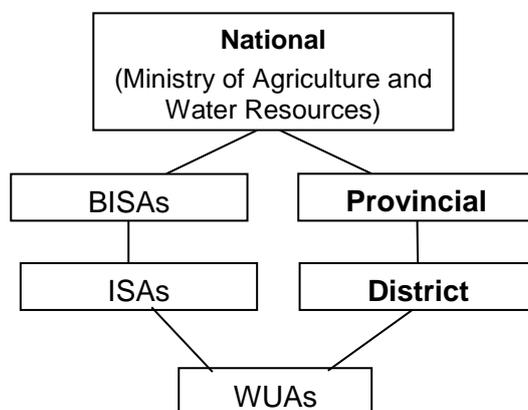


Figure 1. Water management structure in Uzbekistan

The **Basin Irrigation System Authorities (BISAs)**² are responsible for allocation of available water resources to the **Irrigation System Authorities (ISAs)**. This allocation is planned on an annual basis, depending on water availability and on introduced quota system defining the demands for sub-regions. This operational water allocation practice needs to respond to occurring climatic and land-use changes thus address the status-quo and maintain sustainability. This will ensure timely and efficient delivery of water to users.

Although the reorganization of BISAs was an improvement for water resources and irrigation management, BISAs still need further improved irrigation and water management procedures and practices to manage water more effectively. Despite the shift from administrative to basin management principle, planning methods, water bookkeeping and allocation still need modernization.

BISAs and ISAs are financially supported by the state budget while the WUAs should operate on fees collected from farmers. WUAs' financial sustainability is problematic since the fee collection rate from farmers is low in spite of the fact that fee levels are nominal. The WUAs have limited capacity to provide quality services to farmers and other water users.

Existing capacity building system and needs

As can be derived from the analysis above, the operating practice of water management organizations is that the entire irrigation system should be maintained and water demands of population and the national economy should be satisfied with consideration of environmental needs for water. This is a costly exercise, but consequences of a reduced irrigation system should be examined taking into account all economic, social and environmental implications. However, water sector investments should include the 'soft' investments, i.e. training and capacity development, facilitating improved management and innovation, cost-recovery and introduction of water and energy saving technologies.

Primary responsibility for training and re-training of managers and specialists of the water management sector lies with the Ministry of Agriculture and Water Resources and its territorial departments. However, at present, there is no unified training system for technical specialists of water management organizations. A number of trainings and programmes have been developed and introduced by various international development agencies. Existing modules, which are often contradictory to each other in terms of contents and concepts, are delivered in an ad-hoc manner, hence there is no reliable information on number, content and duration of trainings conducted.

Meanwhile, there are degree programmes at the Tashkent Institute for Irrigation and Melioration (TIIM), which is a prime institution for training water sector professionals in hydro-melioration, hydraulic engineering, land management and cadastre, water economics, automation and mechanization and others. TIIM also trains water experts and practitioners working at various water management organizations. These training modules are however, also of ad-hoc nature and contents are not systemized. There are similar programmes at the Tashkent State Agrarian University, Tashkent State Economics University and their branches in provinces.

Therefore, there is a need to develop a unified and a systemized training programme for water practitioners embraced with good international practices. Further details of the technical capacity-building programme will be elaborated based on a comprehensive *Capacity Needs Assessment*, which will be carried out during the inception phase of the programme. Below are preliminary technical capacity building needs for BISAs, ISAs, WUAs and farmers.

BISAs and ISAs

There is a vital need for enhancement of knowledge and capacities of BISA personnel in water planning and water accounting (see Appendices 4 and 5 for a visual overview of the organization structure of BISAs and framework for water information flow, respectively).

² Resolution of the Cabinet of Ministers dated July 21, 2003, #320

WUAs

WUAs were created as a result of reforms in the irrigation and drainage sector, as the lowest tier of the water management system (See Figure 4 for WUAs structure). Since WUAs have become the new players in the water management system, their infrastructure and capacity needs should be considered.

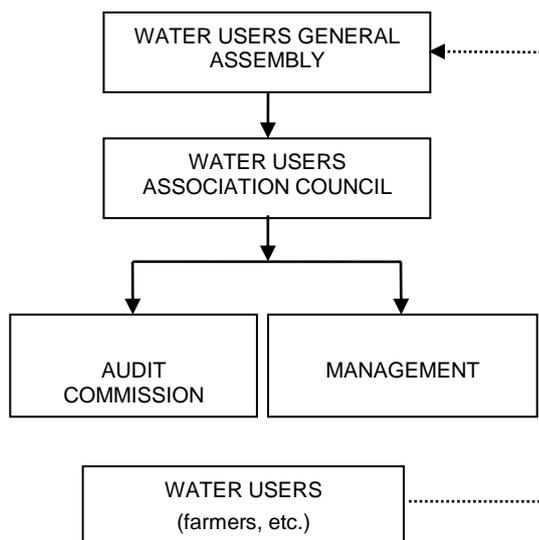


Figure 2. Structure of WUAs.

The volume of water supplied to farmers is usually not measured neither recorded. In turn, it is difficult to charge farmers for water use since there is no correct statistics for it. All this leads to uncounted, water uses and to lack of financial sustainability of WUAs. Therefore, one significant area for training and pilot demonstration projects is related to establishing of proper water accounting.

Capacity building of field personnel in operation and maintenance of pumps, sluices, small hydraulic structures and canals is urgently needed.

The water needs to be spread evenly over the field. Some areas receive more water than needed while others do not receive enough water. Ground preparations can provide uniform water spreading and that significantly improves on-farm water economy. This type of works should be implemented along with training of farmers. It often happens that water is available in the distribution canal while the inflow to the farm system is limited. The correctly formed water intakes can improve the access of water to the head farm ditches while the properly maintained ditches convey the waters to the furrows.

A major issue that affects the productivity and sustainability of irrigated agriculture is shallow groundwater levels, soil salinization and lack or inefficiency of drainage systems. Inadequate drainage contributes to waterlogging and soil salinity. Large investments are required to address these problems and capacity development should accompany these measures.

The financial sustainability of WUA directly depends on farm income generation. Thus, capacity development activities will include training for farmers on crop productivity, diversification (higher value crops), salinity control, water application techniques and water saving technologies.

II. STRATEGY

The proposed project contributes to the Global SDGs 6 (Clean Water and Sanitation) and 11 (Sustainable Cities and Communities) with the UNDAF Outcome #6 (*By 2020, rural population benefit from sustainable management of natural resources and resilience to disasters and climate change*) and is in line with the national priorities related to efficient use of natural resources (land, water, biodiversity)³

The project aims at assisting national institutions responsible for training provision for improved technical capacity building of irrigation basin authorities, WUAs and farmers for sustainable water resources management in a changing environment. The planning and implementation of capacity building measures largely depends on the baseline and capacity needs assessment of BISAs, ISAs, WUAs, farmers and practitioners, as it will reveal the baseline information and identify further training needs to be introduced. Improved training provision by paramount in-house training providers will enhance institutional and technical capacities of basin authorities on water-use planning, delivery, effective on-farm water use, accounting and monitoring as well as on operation of drainage systems.

Fundamental pillars of the project will be the development and implementation of a unified capacity development programme for training providers and practitioners. A set of targeted activities and pilot demonstrations within the project will be embedded into the comprehensive capacity development programme designed for training entities and practitioners of the water sector. The training sessions will provide the theoretical knowledge, while pilot projects will strengthen the learning process by showing tangible evidence of energy and water saving measures.

Over the period 2010-2015 UNDP has led a major initiative to develop (i) a demonstration IWRM Plan for the Zarafshan River Basin, and (ii) a development of the national Water Law (Code) through the "Integrated Water Resources Management and Water Efficiency Plan for Zarafshan River Basin" (IWRM) project, which focused on institutional capacity and capacity development needs, water management practices and programmes, as well as several pilot projects that demonstrate how economic principles can be applied to produce a more rational water management system. This project used holistic and integrated approach to water management.

Lessons Learnt from the IWRM project - e.g. lack of capacities of water experts and practitioners on efficient implementation of IWRM principles (e.g. water use efficiency) from a practical point of view as well as a lack of capacity in project designing, reporting, presentation skills, and organizational skills - will be considered during design and implementation of the capacity building programme.

By creating a unified national capacity building programme, the project will cater extensive training on efficient water management for water practitioners and experts, which is the purpose of this project.

Activity Results.

The Project contributes to the CPD 2016-2020 Output: water supply/efficiency of water resource management improved at national/basin/ farm levels. This output will be achieved through five interlinked **activity results**.

Activity Result 1. Enhanced capacities of national entities in charge of training provision

The project will analyse the existing capacities of national entities responsible for training provision based on a baseline assessment. The baseline assessment will involve detailed research and fact-finding activities related to training on irrigation, melioration and agriculture. The entities are institutions such as educational establishments, research and training centres and extension service agencies providing technical trainings on water resources management and agriculture.

³ National report "Uzbekistan - on the path to sustainable development". N.M. Umarov - chairman of State Committee for Nature Protection of the Republic of Uzbekistan.

The baseline assessments and analysis at all levels as described below shall include gender analysis: the different needs of women and men with specific attention to enhancing the role of women. The results of baseline assessment will be mapped and compiled for analysis and development of training programmes.

The following is planned in order to achieve the Activity Result:

1) Baseline assessment of existing and past training modules and tools, fine-tuning and compilation into one single package

The international organisations and national institutions have developed a series of training materials, modules and curriculum during the recent decenniums. As a first step, it is necessary to collect the plethora of available training modules, tools and curriculum, documents, training methodologies, approaches and evaluation materials, which should be processed in order to define the scope of subjects, structures, schedules, methodologies and achieved results. The study will be conducted based on primary data collection through bilateral and multiparty meetings, focus group discussions and roundtables with entities providing technical trainings and potential trainees, as well as desk review of secondary data.

2) Capacity and needs assessment of institutions responsible for training provision⁴

Within the activity all entities in charge of training provision will be identified, their capacity will be studied and assessed to define further needs with attention to women-trainers. Following institutions have been preliminarily identified for a comprehensive review of their existing capacities on training provision: TIIM, Tashkent Agrarian University, SRIWP (former SANIRI) under TIIM, and professional colleges. Other national organizations such as Council of Farmers, Agricultural Service Centers, BISAs and WUAs will be also considered for capacity and needs assessment as potential training providers who may provide technical trainings. The capacity and needs assessment will help identify prospective partners for further experience sharing and transfer of knowledge, to develop locally adopted and most appropriate capacity building programme.

3) Strengthening material-technical base of training providers

Capacity and needs assessment will help identify methodological, technology and equipment needs of training providers, which could include software, office equipment and furniture, communication and multimedia devices and establishment of training facilities.

Activity Result 2. Strengthened organizational set-up of the water management players and improved advisory mechanisms for improved water supply services

Organizational set-up of water management players at sub-national level (BISAs, ISAs, WUAs) will be strengthened primarily in terms of their existing and further technical capacity building needs, including to provide technical training and advisory/extension services through the following:

1) Capacity and needs assessment of BISAs, ISAs, local authorities, and WUAs/farmers.

This activity will carry out assessment and analysis of existing water management processes such as operations and maintenance of water resources. It will identify gaps

⁴ Reference will be made to UNDP Capacity Assessment Methodology, as well as any similar EU-based methodologies

<http://www.undp.org/content/dam/aplaws/publication/en/publications/capacity-development/undp-capacity-assessment-methodology/UNDP%20Capacity%20Assessment%20Users%20Guide.pdf>

between the existing competence levels and future training needs to address challenges caused by climate change, shrinking water resources, and rising population as BISAs, ISAs, local authorities and WUAs play a key role in this field.

2) Strengthening material-technical base of water management players

Capacity and needs assessment will help identify technology and equipment needs of water management players, which could include modern water information management and monitoring systems, rehabilitation of water diversion points, water measuring and regulation structures, agro-ameliorative equipment and machinery, automated weather stations, communications equipment and others.

3) Piloting establishment of advisory/extension service centers at BISA, ISA and WUA levels

Existing advisory and consultative services are not systematic throughout the water management hierarchy. Therefore, this activity will include review of existing extension strategies and approaches and establishment of pilot extension service centers at BISA, ISA at WUA levels, which can be replicated.

Activity Result 3. Development and implementation of a unified model and approach of capacity building for water management players

Baseline and capacity assessment of training providers and water management players will reveal technical training needs and will help in defining the unified model and approach of capacity building of water management players. The output of this activity will be an integrated Capacity Building Programme. Exact topics of the training courses for training providers, practitioners and water experts will be discussed and finalized during the implementation phase. As a result of this Activity the full set of training materials and the reviewed curricula developed together with the Project Partners will be prepared and submitted to the Government for adoption and practice.

1) Development of training modules

Within this activity, the training modules will be developed based on the baseline and capacity needs assessment, which will be presented to all stakeholders in the validation workshop. Special attention will be paid to involving best European expertise in design of interactive training modules.

2) Formulation of a unified/systemized capacity building programme

Within this activity, a unified/systemized capacity building programme will be developed as the main output of the baseline and capacity needs assessment. The developed training modules will be integrated into the capacity building programme, which will target all training providers and water management players.

3) Implementation of training modules for trainers Training of Trainers is aimed at enhancing the training capacity of all entities identified for further capacity building in training provision in the baseline assessment. Possible beneficiaries may include specialized institutions such as TIIM, Tashkent Agrarian University, SRIIWP (former SANIRI) under TIIM, vocational colleges, extension services, BISAs, ISAs, WUAs and other training providers.

4) Selection of pilot BISA, ISA, WUAs and farms for water efficiency trainings and implementation of pilot projects

In consultation with national partners during the inception phase, in close coordination with GIZ and EU Delegation and based on joint methodology and distinct climatic, economic and social features important for demonstrating improved water management practices, pilot regions will be identified. The selection of pilot regions will be done in a way to ensure

maximum synergies with previous, on-going or upcoming EU and UNDP funded projects in order to maximize their impact. The purpose of implementing *pilot projects* is to demonstrate enhanced training delivery and better water management and use practices, as well as technologies at BISA, ISA, WUAs and farmer levels, and local authorities (see Appendix 3, with a brief description of the rationale for pilot projects).

5) Implementation of the capacity building programme for water managers and users

Within this activity, developed training modules and capacity building programme will be implemented in pilot areas (at basin, WUA, farm levels) in order to test and demonstrate the capacity building methodology developed within the project. The lessons learned and results of this activity will be used to further elaborate the modules and the programme to be submitted to the Government for adoption and upscaling.

Activity Result 4. Enhanced links and networking with EU institutions and practitioners.

The project will seek EU 'know-how' and expertise in water efficiency techniques. The project will facilitate the establishment of cooperation and networking with governmental, educational and public organizations in the EU. Particular attention will be paid to corroboration with institutions and practitioners working in comparable institutional, socio-economic and climate conditions.

1) Organization and implementation of a scholarship programme for trainers and practitioners

Within this activity, a scholarship programme will be arranged for water trainers and practitioners (ensuring equal participation of men and women, where possible giving priority to women) to allow them to study Master's degree at leading European universities in water resources management, such as UNESCO-IHE and Wageningen universities. More options for destinations will be reviewed during the inception phase of Component 2. Specific subjects of study will be identified based on the needs of practitioners and trainers. Scholarship programme guidelines will be developed during the inception phase. Candidates (two in total, possibly one is a woman) who successfully participate in the scholarship programme are expected to return to their home institutions upon completion of the Master's programme and be actively involved in implementation of the Programme (studies to commence during Year 2 and end during Year 3 of implementation of the Programme).

2) Organization of study tours

Exchange visits between Uzbek and EU practitioners will be organized, which is expected to enhance understanding of advanced concepts of water management. Tailored study visits (4 in total) to EU countries with similar climatic conditions and applicable water management practices will be organized for training providers, water managers and local authorities, water user associations and farmers (with the aim to have at least 30% of women participants). For each Study Tour, a detailed Terms of Reference (ToR) will be prepared and agreed with national partners and the EU Delegation in Uzbekistan. The ToR would include a profile of target groups for the study tour, in order to ensure that they are organized for the right audience. Visits of experts from EU countries to Uzbekistan to provide substantive input into formulation of training modules and the capacity building programme, as well as delivery of certain technical trainings, is foreseen.

Activity Result 5. Piloting community development plans with water management as a cross cutting issue.

Within this activity, Baseline assessment of pilot areas (same pilot areas to be identified under Activity Result 3) will be carried out to reveal the extent to which communities are being affected by insufficient water resources or water mismanagement. The study will identify economic, social and environmental implications of inefficient water resources management, particularly on household production of agricultural products, women headed households, which defines the well-being of rural populations. To properly account for the impact of insufficient water resources, water

mismangement, community development planning in pilot areas will be revisited (applicable EU experience, including through study tours in community development planning, will be utilized).

1) Conducting baseline assessment of communities (economic, social and environmental dimensions).

Within this activity, communities (in pilot areas) will be assessed with a particular focus on agricultural activities, water use, and water allocation. This will help identify impacts of existing water management practices on sustainability of communities by mapping water use, agricultural crop allocation and production patterns for each community.

2) Development of guidelines for community development planning

Existing guidelines for community development planning will be reviewed and updated to address current needs, where issues of sound water management at community level will be mainstreamed, as a cross-cutting issue.

3) Trainings and workshops for communities and local authorities on better water planning, use, and water saving techniques

This activity will be delivered as part of the capacity building programme implementation in pilot regions.

4) Practical demonstration activities to showcase water and energy efficiency measures at the community level (in conjunction with Activity 3.4.)

Within this activity, demonstration of small-scale water saving measures, such as drip irrigation, greenhouses, land laser levelling, solar technologies for pumping water and others will be promoted. Demonstration activity results will serve as a basis for formulation of community development plans.

5) Development of community development plans

Community development plans for pilot communities, one per pilot region to be defined after the inception phase, will be developed and proposed to be integrated into regional/provincial development plans. As a water governance issue in broad terms, synergies will be sought with GIZ (Component 1), which is in charge of implementing supporting legislative changes as part of the broader EU's Water Management Programme for institutionalizing, replication and scale-up.

CROSS CUTTING ACTIVITIES

Under Activity 5, water management issues will be mainstreamed into community development planning process as a cross-cutting issue. However, there are two important subjects, which will be considered as a cross-cutting issue throughout all activities of the project, and as specific topics for trainings. Scope of activities and cost implications will be further defined based on baseline assessment during the inception phase. Special emphasis will also be on enhancing project cycle management skills of project beneficiaries, particularly at community level.

Climate change

While experts well acknowledge that water shortages are to a certain degree a result (or will be a result) of climate change, water users at lower tiers are not necessarily aware of this. Climate studies suggest that the climate in Uzbekistan will be warmer, drier and there will be a shift in the water regime of the rivers. After an initial increase in available waters, due to faster melting of glaciers, water run-off in the long-run is expected to decrease sharply. Growing air temperature is going to increase evapotranspiration and that influences water demands in agriculture. If agro-technologies, crop composition and irrigation practices remain unchanged, under future climate scenarios, this would bring a severe water deficit. The impacts are expected to be felt not just in agriculture, but also in the economy as a whole. Major sectors of the economy have developed mid-term plans for growth, which implies higher demands for water. Therefore, even without

climate change, increased consumption due to growth projections are expected to strain limited water resources. Project output will contribute to addressing the climate change challenges at the community level.

Gender and water

In rural areas, women take on additional responsibilities, including agricultural activities on farm and household land plots. Therefore, capacity building activities should address specific needs of women with regards to water management in rural areas. Capacity building activities should make every possible effort to facilitate active and full-fledged participation of women in the community development planning, planning activities and the training process (as trainers or trainees). Involving women in training processes in management of water will also contribute to sustainability and efficiency of water use.

III. RESULTS AND RESOURCES FRAMEWORK

UNDAF Outcome 6: By 2020, rural population benefit from sustainable management of natural resources

CPD Output 2: Water supply/efficiency of water resource management improved at national/basin/ farm levels.

Applicable Key Result Area (from 2014-17 Strategic Plan): 1.

Partnership Strategy: Ministry of Agriculture and Water resources of the Republic of Uzbekistan, GIZ, EU

Project title and ID (ATLAS Award ID): Sustainable Management of Water Resources in rural areas in Uzbekistan: Technical Capacity Building, 00080811

INTENDED OUTPUT INDICATORS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	MEANS OF VERIFICATION	RESPONSIBLE PARTIES	INPUTS
<p>Project Output: Water management services, practices and techniques are strengthened and harmonised within a national framework.</p> <p><i>Indicator 1.1.</i> Number of training modules and tools assessed. <i>Baseline 1.1.</i> N/A</p> <p><i>Indicator 1.2.</i> Number of institutions responsible for training provision assessed in terms of their capacity to conduct WM trainings. <i>Baseline 1.2.</i> Comprehensive</p>	<p>2016: 1.1. At least 10 existing training modules and tools assessed 1.2. Capacities of 3 institutions responsible for training provision assessed</p> <p>2017: 1.3. One pilot entity's material-technical base strengthened</p>	<p>❖ <u>Activity Result 1. Enhanced capacities of national entities in charge of training provision</u></p> <p>➤ <i>Action 1.1. Baseline assessment of existing and past training modules and tools, fine-tuning and compilation into one single package</i></p> <p>➤ <i>Action 1.2. Capacity and needs assessment of institutions responsible for training provision⁵</i></p> <p>➤ <i>Action 1.3. Strengthening material-technical base of training providers</i></p>	<p>❖ Baseline assessment report agreed with stakeholders</p> <p>❖ Capacity and needs assessment reports agreed with beneficiaries</p> <p>❖ Transfer of equipment and materials completed (Handover Acts)</p>	<p>❖ UNDP Uzbekistan</p> <p>❖ Ministry of Agriculture and Water resources (lead partner)</p> <p>❖ Basin Irrigation System Authorities</p> <p>❖ WUA</p> <p>❖ TIIM</p> <p>❖ SRIIWP</p> <p>❖ TSAU</p> <p>❖ Educational organisations at</p>	<p>2016: EU 200388 Euro</p> <p>2017: EU 306253 Euro</p>

⁵ Reference will be made to UNDP Capacity Assessment Methodology, as well as any similar EU-based methodologies <http://www.undp.org/content/dam/aplaws/publication/en/publications/capacity-development/undp-capacity-assessment-methodology/UNDP%20Capacity%20Assessment%20Users%20Guide.pdf>

<p>capacity and needs assessment of training providers has not been conducted before.</p> <p><i>Indicator 1.3.</i> Number of institutions responsible for training provision with strengthened technical-material base.</p> <p><i>Baseline 1.3.</i> Insufficient level of material-technical base of training providing institutions.</p>				<p>pilot regions</p> <p>❖ Other relevant institutions</p>	
<p><i>Indicator 2.1.</i> Number of water management organisations' capacity and needs assessment conducted at local level.</p> <p><i>Baseline 2.1.</i> N/A</p> <p><i>Indicator 2.2.</i> Number of water management organisations with strengthened material-technical base.</p> <p><i>Baseline 2.2.</i> Insufficient level of material-technical base of water management organizations.</p> <p><i>Indicator 2.3.</i> Number of extension/ advisory centres established.</p> <p><i>Baseline 2.3.</i> Lack of a unified approach to extension/advisory service provision.</p>	<p>2016:</p> <p>2.1. 6 BISAs and 6 WUAs capacity needs assessed in pilot regions (at least 30% women involved in the process).</p> <p>2017-2018:</p> <p>2.2. One BISA, one ISA and 5 pilot WUAs' material-technical base strengthened</p> <p>2.3. Minimum three (3) extension centres established at selected BISA, ISA and WUA.</p>	<p>❖ <u>Activity Result 2. Strengthened organizational set-up of the water management players and improved advisory mechanisms for improved water supply services</u></p> <p>➤ <i>Action 2.1. Capacity and needs assessment of BISAs, ISAs, local authorities, and WUAs/farmers.</i></p> <p>➤ <i>Action 2.2. Strengthening material-technical base of water management players</i></p> <p>➤ <i>Action 2.3. Piloting establishment of advisory/extension service centers at BISA, ISA and WUA levels (one in each level)</i></p>	<p>❖ Capacity and needs assessment report agreed with beneficiaries</p> <p>❖ Transfer of equipment and materials (Handover Acts)</p> <p>❖ Extension services recommended for adoption;</p> <p>❖ Extension centres operational, activities initiated (Opening Ceremonies held)</p>	<p>❖ UNDP Uzbekistan</p> <p>❖ Ministry of Agriculture and Water resources (lead partner)</p> <p>❖ Basin Irrigation System Authorities</p> <p>❖ Irrigation System Authorities</p> <p>❖ Water Users Associations</p> <p>❖ Farmers</p>	<p>2016: EU 200388 Euro</p> <p>UNDP 25000 USD</p> <p>2017: EU 334993 Euro</p> <p>UNDP 25000 USD</p> <p>2018: EU 144260 Euro</p> <p>UNDP 500000 USD</p>
<p><i>Indicator 3.1.</i> A unified capacity building programme developed</p>	<p>2017:</p> <p>3.1.1. One (1) comprehensive and unified</p>	<p>❖ <u>Activity Result 3. Development and implementation of a unified model and approach of capacity building</u></p>	<p>❖ On-site monitoring, reports (bi-annual).</p> <p>❖ Training Module</p>	<p>❖ UNDP Uzbekistan</p> <p>❖ Ministry of</p>	<p>2016: EU 52188 Euro</p> <p>UNDP 25000 USD</p>

<p>incorporating training modules. <i>Baseline 3.1.</i> Lack of a unified/systemized capacity building programme.</p> <p><i>Indicator 3.2.</i> Number of trainers (male/female) trained. <i>Baseline 3.2.</i> N/A</p> <p><i>Indicator 3.3.</i> Number of water managers and users (male/female) trained. <i>Baseline 3.3.</i> N/A</p> <p><i>Indicator 3.4.</i> Number of new and innovative water planning and management methods, techniques and approaches tested at water management organizations and farmers. <i>Baseline 3.4.</i> There is lack of integration between different levels of water management hierarchy (BISA, ISA and WUA/Farm level) that lead to substantial wastage of water in conveying system.</p> <p><i>Indicator 3.5.</i> Water intake per hectare of cultivated land using improved mechanisms/innovative technologies at pilot WUAs.⁶</p>	<p>capacity building programme developed and approved by MAWR for implementation at pilot regions.</p> <p>2019: 3.1.2. The final version of the unified capacity building programme elaborated and submitted to the Government for approval and upscaling.</p> <p>2017-2019: 3.2. At least two hundred⁷ (200) trainers trained, at least 30% of whom are women. 3.3. At least one thousand and five hundred (1500) water managers and users trained⁸, at least 30% of whom are women. 3.4. Following innovative water planning and management methods per pilot area/site will be tested: i) irrigation technologies, ii) water distribution and metering, iii) water and energy saving technologies.⁹ 3.5. Ten thousand (10,000) m³/ha (2018).</p>	<p><u>for water management players</u></p> <ul style="list-style-type: none"> ➤ <i>Action 3.1. Development of training modules</i> ➤ <i>Action 3.2. Formulation of a unified/systemized capacity building programme</i> ➤ <i>Action 3.3. Implementation of training modules for trainers</i> ➤ <i>Action 3.4. Selection of pilot BISA, ISA, WUAs and farms for water efficiency trainings and implementation of pilot projects</i> ➤ <i>Action 3.5. Implementation of the capacity building programme for water managers and users</i> 	<p>package is agreed with national partners and beneficiaries;</p> <ul style="list-style-type: none"> ❖ Training module recommended for adoption and integration into national curricula; ❖ Unified capacity development programme for water sector institutions and practitioners agreed with beneficiaries; ❖ Unified capacity building programme recommended for adoption and integration into national curricula. ❖ ToT training workshops and materials ❖ Monitoring and progress reports ❖ Post-training feedback ❖ Project Board meeting minutes approving 	<p>Agriculture and Water resources (lead partner)</p> <ul style="list-style-type: none"> ❖ Ministry of Higher and Secondary Specialized education ❖ Basin Irrigation System Authorities ❖ Irrigation System Authorities ❖ Water Users Associations ❖ Council of Farmers ❖ Pilot farmers ❖ Educational organisations at pilot regions ❖ Local authorities (khokimiyats, makhallas, etc.) 	<p>2017: EU 639293 Euro UNDP 25000 USD</p> <p>2018: EU 636913 Euro UNDP 25000 USD</p> <p>2019: EU 491881 Euro UNDP 25000 USD</p>
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⁶ UNDP Country Programme Document indicator 2.b of outcome 6. Calculation: 54 billion m³ water intake per year divided by 4.2 million irrigated land equals to average 12,000 m³/ha of water intake.

⁷ This figure is indicative, and assumes trainers throughout the country that work at national, regional and

<p>Baseline 3.5. 12,000 m3/ha (2014);</p>			<p>selection of pilot regions and concepts of pilot projects</p> <ul style="list-style-type: none"> ❖ Consultation meetings with stakeholders; validation workshop; ❖ Training workshops documents and materials ❖ Pilot Project Reports with achieved results 		
<p>Indicator 4.1. Number of students (male/female) who obtained Master's degrees in water resources management field with EU support. Baseline 4.1. N/A</p> <p>Indicator 4.2. Number of specialized study tours conducted Baseline 4.2. There is no sustainable links and networking with EU water institutions and practitioners</p>	<p>2017-2018: 4.1. Two (2) students (male and female) obtained their MS degree in water management</p> <p>2016-2019: 4.2. Four (4) study tours conducted (one per year). At least, 30% are women participants.</p>	<ul style="list-style-type: none"> ❖ <u>Activity Result 4. Enhanced links and networking with EU institutions and practitioners</u> <ul style="list-style-type: none"> ➤ Action 4.1. Organization and implementation of a scholarship programme for trainers and practitioners ➤ Action 4.2. Organization of study tours 	<ul style="list-style-type: none"> ❖ MSc Diplomas of graduate students ❖ Study tour and Back to Office Reports 	<ul style="list-style-type: none"> ❖ UNDP Uzbekistan ❖ Ministry of Agriculture and Water resources (lead partner) ❖ Basin Irrigation System Authorities ❖ Irrigation System Authorities ❖ Water Users Associations ❖ Council of 	<p>2016:64940 Euro</p> <p>2017:167630 Euro</p> <p>2018: 165250 Euro</p> <p>2019:63418 Euro</p>

district levels at universities, vocational colleges and special training institutions. The number will be verified based on the baseline assessment of institutions responsible for training provision in the water sector.

⁸ This figure is indicative, and assumes water managers representing BISAs, ISAs, WUAs as well as farmers and local authorities. The number will be verified based on selected pilot regions as well as the baseline assessment.

⁹ The list of methods is not exhaustive and subject to clarification based on the baseline assessment.

established in the country on water management				<ul style="list-style-type: none"> ❖ Farmers ❖ Pilot farmers ❖ Local authorities and NGOs (khokimiyats, makhallas, etc.) ❖ TIIM ❖ SRIWP ❖ TSAU 	
<p><i>Indicator 5.1.</i> Number of baseline assessment of communities conducted.</p> <p><i>Baseline 5.1.</i> No prior assessments of communities.</p> <p><i>Indicator 5.2.</i> Community development planning guidelines designed.</p> <p><i>Baseline 5.2.</i> Guidelines exist, water management issues not sufficiently addressed</p> <p><i>Indicator 5.3.</i> Number of community members and representatives of local authorities (male/female) received trainings on community development planning.</p> <p><i>Baseline 5.3.</i> N/A</p> <p><i>Indicator 5.4.</i> Number of water consumers/rural householders</p>	<p>2016:</p> <p>5.1. Baseline assessment of one community in each pilot region conducted with due consideration of and equal participation of women and men;</p> <p>2017:</p> <p>5.2. One (1) community development planning guidelines designed, that among others take into account the different needs of women and men in the community planning and published</p> <p>2018:</p> <p>5.3. At least 200 hundred¹⁰ relevant representatives of each pilot community and local authorities trained on community development planning, at least 30% of</p>	<ul style="list-style-type: none"> ❖ <u><i>Activity Result 5. Piloting community development plans with water management as a cross cutting issue</i></u> <ul style="list-style-type: none"> ➤ <i>Action 5.1. Conducting baseline assessment of communities (economic, social and environmental dimensions).</i> ➤ <i>Action 5.2. Development of guidelines for community development planning</i> ➤ <i>Action 5.3. Trainings and workshops for communities and local authorities on better water planning, use, and water saving techniques</i> ➤ <i>Action 5.4. Practical demonstration activities to showcase water and energy efficiency measures at the community level (in conjunction with Activity 3.4.)</i> ➤ <i>Action 5.5. Development of community development plans</i> 	<ul style="list-style-type: none"> ❖ Post-training assessment / post-training survey, monitoring skills application; ❖ Baseline assessment report discussed and agreed with stakeholders ❖ Guidelines presented and agreed with beneficiaries, posted on project website for public discussion ❖ Training workshops documents and materials ❖ Demonstration plots; monitoring reports ❖ Broad public and 	<ul style="list-style-type: none"> ❖ UNDP Uzbekistan ❖ Ministry of Agriculture and Water resources (lead partner) ❖ Basin Irrigation System Authorities ❖ Irrigation System Authorities ❖ Water Users Associations ❖ Farmers ❖ Rural Householders and Dehkan farms ❖ Local authorities and NGOs (khokimiyats, makhallas, etc.) 	<p>2016: EU 94144 Euro</p> <p>2017: EU 220248 Euro</p> <p>2018: EU 83046 Euro</p> <p>2019: EU 71214 Euro</p>

¹⁰ This figure is indicative, and subject to clarification based on the baseline assessment of communities and relevant stakeholders role in community development planning.

<p>(male/female) trained with EU expertise on water use efficiency. <i>Baseline 5.4. N/A</i></p> <p><i>Indicator 5.5.</i> Number of new and innovative water planning and management methods, techniques and approaches showcased at pilot communities. <i>Baseline 5.5. N/A</i></p> <p><i>Indicator 5.6.</i> Volume of water saved as a result of new water management practices at communities (households and small dekhans, farms) <i>Baseline 5.6. N/A</i></p> <p><i>Indicator 5.7.</i> Number of community development plans developed in pilot regions. <i>Baseline 5.7. N/A</i></p>	<p>whom are women. 5.4. At least 50¹¹ rural householders per pilot region, at least 30% of whom are women.</p> <p>5.5. Following innovative water planning and management methods per pilot community tested: i) water saving (irrigation techniques and agriculture measures), ii) energy saving technologies in water use.</p> <p>5.6. Seventy five thousand¹² (75,000) c/m water saved at household level at pilot communities</p> <p>2019: 5.7. One (1) per pilot community</p>		<p>formal consultation of prepared community development plans</p>		
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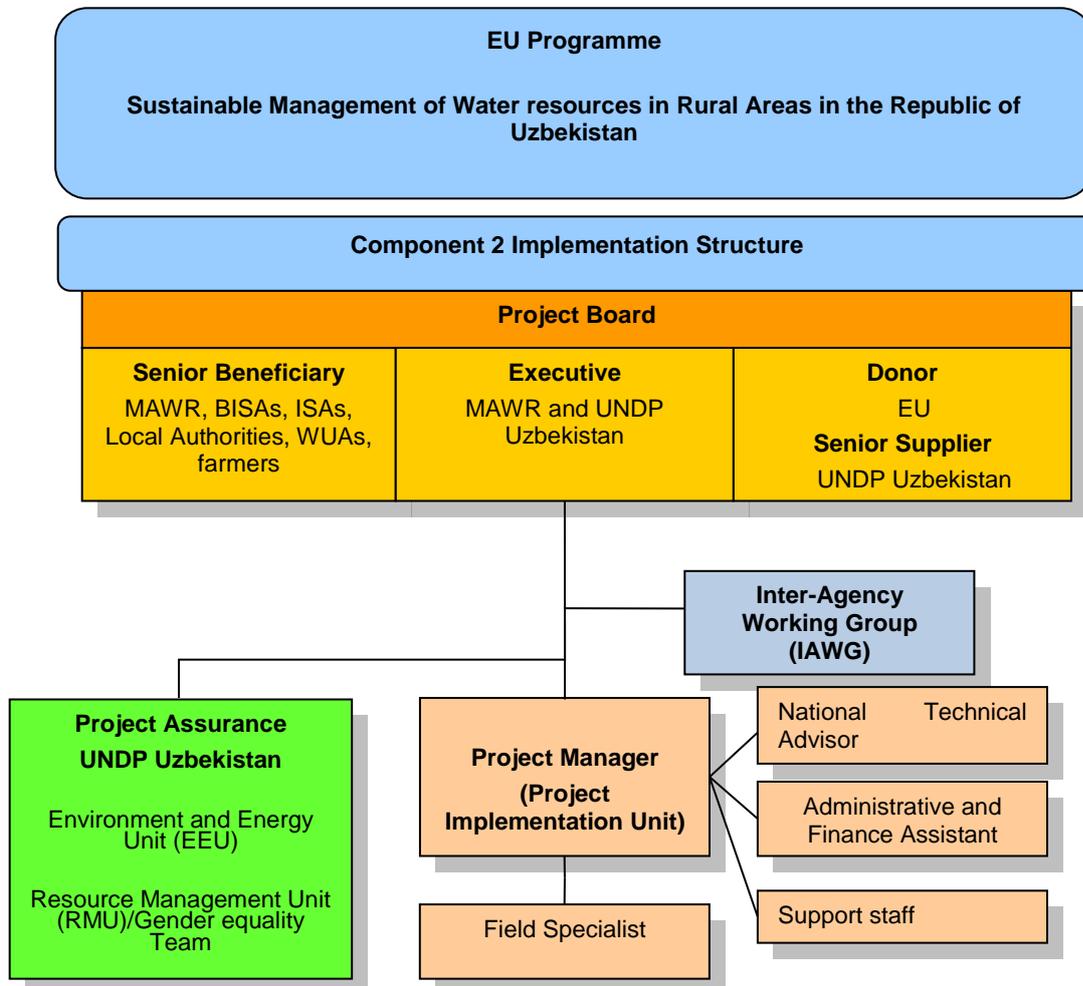
¹¹ This figure is indicative, and subject to clarification based on the baseline assessment of rural householders/small-scale farmers at communities.

¹² Given current water intake per hectare of irrigated land (12,000 m³/ha), water efficiency methods will entail economy of water intake by 2000 m³/ha. Assuming that each household has 0,15 of land for small-scale farming, fifty rural householders (target 5.4) would have 7,5 ha of irrigated land. Thus, 7,5 ha multiplied by 2000 m³ of saved water equals to 15,000 ha of saved water, which is only for one pilot community. 75,000 c/m of saved water represents all pilot communities. It should be noted that the irrigated land of rural householders may vary, thus the baseline assessment of pilot communities will verify the exact volume of irrigated land, hence exact figure of c/m water saved.

	<p>Project Administration (Project personnel salary, travel local/international and transportation cost, vehicle, furniture, IT equipment procurements, vehicle operation costs, office utilities and internet charges, stationeries, cost of the office premises renovation, indirect costs and contingency reserve)</p>	<p>2016: EU 315760 Euro</p> <p>2017: EU 281268 Euro</p> <p>2018: EU 245716 Euro</p> <p>2019: EU 220809 Euro</p>
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IV. MANAGEMENT ARRANGEMENTS

The implementation period of this action, during which the activities described in this project will be carried out is 48 months.



The project (Component 2) will be implemented through National Implementation Modality (NIM) with full UNDP Country Office support (implementation support services), as per NIM guidelines. At the national level, the project will be executed by the Ministry of Agriculture and Water Resources as the National Implementing Partner, who will appoint a senior official to be the National Project Coordinator (i.e., hereinafter, "project" refers to Component 2 of the Programme). The Government of Uzbekistan will form an Inter-Agency Working Group (IAWG), for providing technical support for implementation of Component 2. The IAWG will be established at the technical level and will comprise of experts from government agencies, local authorities, educational and training institutions responsible for training in the water sector. GIZ responsible for implementation of Component 1 will be requested to nominate its representatives to the IAWG of Component 2.

The Project Board will be responsible for making management decisions for the project, in particular when guidance is required by the Project Manager (PM). It will play a critical role in project monitoring and evaluations by assuring the quality of these processes and associated products, and by using evaluations for improving performance, accountability and learning. The Project Board will ensure that required resources are committed. It will also arbitrate on any

conflicts within the project and negotiate solutions to any problems with external bodies. In case a consensus cannot be reached, final decision shall rest with UNDP.

Project reviews by PB are made at designated decision points during the running of a project (at least once a year), or as necessary when raised by the PM. In addition, it will approve the appointment and responsibilities of the PM and any delegation of its Project Assurance responsibilities. Based on the approved Annual Work Plan, the Project Board can also consider and approve the annual plan and approve any essential deviations from the original plans. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance to standards that shall ensure best value to money, fairness, integrity, transparency and effective international competition. Potential members of the Project Board will be reviewed and recommended for approval during the Project Appraisal Committee (PAC) meeting. The Project Board will contain three distinct roles:

Executive Role: This function will represent the project "owners" and will chair the group. It is expected that the Ministry of Agriculture and Water Resources will appoint a senior official to this role who will ensure full government support of the project and serve as the National Project Coordinator (NPC).

Donor and Senior Supplier Role: This role requires the representation of interests of the parties concerned which provide funding for specific cost sharing projects and/or technical expertise to the project. The Senior Supplier and Donor's primary function within the Board will be to provide guidance regarding the technical feasibility of the project. This role will rest with UNDP Uzbekistan represented by the UNDP RR/DRR or designated official, and the EU Delegation in Uzbekistan, represented by the Head of Cooperation Section.

Senior Beneficiary Role: This role requires representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board will be to ensure the realization of project results from the perspective of project beneficiaries. The principal project beneficiary is the Ministry of Agriculture and Water Resources, but other project beneficiaries (see section on Project Partners) will be duly involved and consulted during the strategic decision-making and monitoring process during the augmented Project Board meetings.

Project Assurance: The Project Assurance role supports the Project Board Executive by carrying out objective and independent project oversight and monitoring functions. The Project Assurance role will rest with UNDP Uzbekistan (Environmental and Energy Unit, supported when needed by the Resource Management Unit).

The Ministry of Agriculture and Water Resources will provide office premises for the project team as well as telephone communication lines, and the required expertise and services of their corresponding staff. During the inception period, all the necessary arrangement will be made to ensure that the staff dedicated to the project will be able to settle as soon as possible within the structure agreed with the Ministry. Local transport to visit demo sites by international consultants to conduct periodic monitoring, support of their relevant subdivisions and staff, and ensuring required access to relevant units will also be covered. This is considered as in-kind contribution to the project implementation to be provided by the Government of Uzbekistan. Other national project partners will contribute to the project by making their personnel/staff and expertise available as and when needed, as well as by participating in relevant expert, seminars, workshops or management meetings and/or providing meeting/teaching/storage venues/locales as and when needed.

The office and technical equipment procured within the project will be handed over to the corresponding national organizations as grant-based technical assistance at agreement of the national Implementing Partner and the EU Delegation in Uzbekistan. Beneficiaries should grant access to all equipment procured through the project at any point during project implementation for monitoring purposes.

Planning and Reporting

A Project Inception Workshop will be held within the initial few months of project start-up and is crucial to building ownership for the project results and to plan the first year's annual work-plan. The Inception report will be a key reference document and will be prepared and shared with participants to formalize various agreements and plans decided during the meeting (will be shared with the EU Delegation within 6 months of the start of the Programme). The Inception Report will include a detailed description of the Component 2 environment, including any significant changes since signature of contract.

The Inception Workshop will address a number of key issues, including:

- Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complimentary responsibilities of project stakeholders. Discuss the roles, functions and responsibilities within the project's decision making structures, including reporting and communication lines, and conflict resolution mechanisms.
- Prepare an overall work plan and a detailed annual work plan for the first year of the project implementation
- Based on the project results framework and the EU Results Framework, refine the logical framework, review and agree on indicators, baselines, targets and their means of verification, and re-check assumptions and risks
- Provide a detailed overview of reporting, M&E requirements. The M&E work plan and budget should be agreed and scheduled
- Discuss financial reporting procedures and obligations, and arrangements for audit (if required)
- Plan and schedule Project Board meetings. Roles and responsibilities of all project organization structures should be clarified and meetings planned

Communications and Visibility

In order to accord proper acknowledgement to EU and UNDP for providing funding, an EU and UNDP logos will appear on all relevant project publications, including, among others, project hardware purchased with EU and UNDP funding. Any citation on publications regarding this project will also accord proper acknowledgment to EU and UNDP.

UNDP will develop a Communication and Visibility Plan for Component 2, in accordance with the requirements of Joint visibility guidelines for EC-UN actions in the field¹³.

The Visibility and Communication Plan will be submitted to the EU Delegation as part of the Inception Report.

V. MONITORING FRAMEWORK AND EVALUATION

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table.

¹³ <http://ec.europa.eu/europeaid/node/45481>

- An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted, a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, a Project Progress Reports (PPR) shall be submitted by the Project Manager to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.
- a project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- a Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events

Annually

- **Annual Review Report.** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.
- **Annual Project Review.** Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

Audit

The project shall be subject to the internal and external auditing procedures laid down in the Financial Regulations, rules and directives of UNDP.

VI. LEGAL CONTEXT

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

Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the executing agency and its personnel and property, and of UNDP's property in the executing agency's custody, rests with the executing agency.

The executing agency 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 executing agency's security, and the full implementation of the security plan.

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 this agreement.

The executing agency agrees to undertake all reasonable efforts to ensure that none of the 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/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

VII. ANNEXES

1 Risk Log Matrix

#	DESCRIPTION	DATE IDENTIFIED	TYPE	IMPACT & PROBABILITY	COUNTERMEASURES / MNGT RESPONSE	OWNER
			Environmental Financial Operational Organizational Political Regulatory Strategic Other	Enter probability on a scale from 1 (low) to 5 (high) Enter impact on a scale from 1 (low) to 5 (high)	What actions have been taken/will be taken to counter this risk?	Who has been appointed to keep an eye on this risk?
1	Low interest of project beneficiaries.	Dec.1, 2015 (ProDoc stage)	Political, Organizational	P=2 I=4	Experience indicates that when the project is implemented under a government decree, the principle agency is required to take required actions. It is expected that inclusion of the project in the Government's decree #255, 2015 will increase commitment of national partners. No mitigation is required.	PMO
2	Government does not approve the Capacity Building Programme.	Dec.1, 2015 (ProDoc stage)	Political	P=3 I=3	The CoM is to approve this document. A special Government decree should be issued by the end of the project to up-scale and implement the programme.	PMO, UNDP CO
3	Donor financing fails to materialize on time	Dec.1, 2015 (ProDoc stage)	Financial	P=1 I=5	Failure to provide agreed tranche will cause parts of the project to be delayed.	UNDP/CO
4	Lack of coordination with GIZ during implementation of the project	Dec.1, 2015 (ProDoc stage)	Organisational	P=4 I=4	Failure to coordinate properly, in particular in issues of technical specification for procurement of equipment and technologies might lead to conflict and disorganisation of the entire program that will negatively affect on image of UNDP. Therefore, clear coordination mechanism should be developed and agreed with GIZ and EU at inception phase	UNDP/CO
5	Pilot projects fail to be fully implemented.	Dec.1, 2015 (ProDoc stage)	Financial, operational	P=3 I=4	Failure to agree on the pilot projects will degrade the project; The project will take particular efforts to ensure that pilots selected on the basis of agreement with EU and MAWR start in time. Contracts through UNDP will be processed with no delays.	PMO, UNDP

2 Terms of References

1. Project Manager

Duties:

Under direct supervision of the Head of Environment and Energy Unit, the Project Manager is fully responsible for operational management of the project according to the project document, UNDP corporate rules and procedures and for fulfilling the following functions:

- Responsible for day-to-day management, administration and decision-making for the project;
- Oversees planning process for the project and ensures its implementation in accordance with the signed project document;
- Responsible for ensuring that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost;
- Manage the realization of project outputs through activities;
- Ensures that project contributes to the promotion of gender equality by reaching, involving and benefiting both women and men in its activities (gender mainstreaming);
- Provide direction and guidance to project team(s)/ responsible party (ies);
- Identifies partnership strategies with regard to providers of specialised expertise and possible co-financiers, and assists in resource mobilisation for project components;
- Identify and obtain any support and advice required for the management, planning and control of the project;
- Liaise with EU, project partners, suppliers and beneficiaries when needed;
- Prepare timely reports of project progress in line with UNDP and donor requirements;
- Perform other duties related to the scope of work of the PM as required.

Running a project

- Plan the activities of the project and monitor progress against the initial quality criteria;
- Mobilize goods and services to initiative activities, including drafting TORs and work specifications;
- Manage requests for the provision of financial resources by UNDP, using advance of funds, direct payments, or reimbursement;
- Manage and monitor the project risks, submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the Project Risks Log;
- Be responsible for managing issues and requests for change by maintaining an Issues Log;
- Prepare the quarterly and annual financial and progress reports and submit the reports to the Project Board and UNDP;
- Monitors the implementation of project components, analyses problems that hamper their implementation and takes appropriate measures to ensure timely delivery of required inputs and achievement of project-wide results;
- Monitors and reports to UNDP on all financial and procurement matters of the project, including proper utilization of funds and delivery, budget revisions, availability of funds, reconciliation of accounts, establishment of internal control mechanisms. Acts as a focal point to liaise with auditors and ensures follow-up actions. Ensures the accuracy and reliability of financial information and reporting;
- Monitors and facilitates advocacy and mass media outreach activities, writing of success stories, newspapers coverage, PR campaigns;
- Organize workshops, seminars and round tables to introduce project outputs to all stakeholders involved. Render support to related UNDP thematic activities such as

- publications, sharing of knowledge and group discussions;
- Liaises with other UNDP and Donors funded projects to implement possible synergies.

Closing a Project

- Ensure proper operational, financial and programmatic closure of the project;
- Prepare Final Project Review Reports to be submitted to the Project Board and the Outcome Board;
- Identify follow-on actions and submit them for consideration to the Project Board; Manage the transfer of project deliverables, documents, files, equipment and materials to national beneficiaries;
- Prepare final CDR for signature by UNDP and the Implementing Partner.

2. National Technical Advisor (NTA)

Duties:

Under direct supervision of the Project Manager, the National Technical Advisor is fully responsible for the technical part of project implementation. The National Technical Advisor of the Project will be responsible for overseeing on a day to day basis the sound and timely implementation of all technical tasks of the project. Specific responsibilities will include:

Work planning and Reporting

The NTA will provide support to the PM in the preparation of all required work planning and reporting in terms of their technical content including AWP, Quarterly reports, Terminal Project report, Inception Reports and others by EU.

Recruitment and supervision of technical consultants

- TOR drafting: the NTA will have primary responsibility for defining the technical responsibilities and deliverables expected from national and international consultants and service providers recruited by the project and elaborate them in comprehensive Terms of Reference
- Supervision: the NTA will have responsibility for ensuring technical consultants to prepare adequate workplans, will monitor progress, and provide technical guidance as required
- The NTA will ensure effective management of work towards defined project results by consultants recruited by the project through periodic technical staff management meetings

Technical Reports Oversight and finalization:

The NTA will be responsible for reviewing, following up and finalization of all technical reports, best practices, lessons learned, publications, etc. prepared by the project.

Technical Coordination Group and Liaison with Project Technical Partners

- The NTA will contribute to the work of the Project Interagency Working Group and will ensure that it effectively achieves its objectives (i.e. to achieve technical coordination and information exchange in the field between various project partners to ensure complementarity and collaboration).

Liaison and Support to Chief Technical Adviser (CTA)

- The NTA will liaise and consult closely with the part-time CTA in order to ensure that the technical direction of the project implementation remains on course.
- The NTA will directly support and work closely with the CTA while in-country and in particular during the project Inception phase in order to facilitate effectiveness of results and reach clear understanding of technical tasks to be achieved during the project duration.

Monitoring and evaluation

- The NTA will take direct responsibility for ensuring the practical tasks required to effectively implement the M&E plan are performed and that an appropriate database is established to enter, process and generate materials required to measure project progress towards indicators.
- The NTA will play a central role in supporting the process of undertaking the mid and terminal Independent Evaluations.
- Perform other duties as needed.

3. Administrative/Finance Assistant (AFA)

Duties:

Under the guidance of Project Manager, the Administrative/Finance Assistant provides support to project implementation performing a variety of standard administrative processes ensuring high quality and accuracy of work. The Administrative/Finance Assistant promotes a client, quality and results-oriented approach.

The Administrative/Finance Assistant works in close collaboration with the Environment and Energy Unit, UNDP Operations, projects staff and other UN agencies staff to exchange information and ensure consistent service delivery complying with UNDP rules and donor's requirements.

- Bear responsibilities for logistics, procurement, finance and recruitment for the project, in accordance with corporate UNDP rules and regulations as well as donor's requirements;
- Prepare all financial and administrative documents related to the project implementation;
- Develop quarterly and annual budget plans for recruitment of personnel; maintain financial records and monitoring systems to record and reconcile expenditures, balances, payments and other data for day-to-day transaction and reports;
- Advise and assist Project staff, experts and consultants on all respects of allowances, salary advances, travel claims and other financial and administrative matters, and calculate and authorize payments due for claims and services;
- Provide organizational and administrative support in implementation of project activities including organization of roundtables, workshops, trainings, working meetings and other events;
- Prepare detailed cost estimates and participate in budget analysis and projections as required to handle all financial operations of the project office, make cash payments and reconcile all accounts in required time frame;
- Maintain, update and transmit inventory records of non-expendable equipment in accordance with UNDP rules;
- Perform cash custodian's duties being primarily responsible for project's cash disbursements and maintain project's petty cash book and payrolls related to the regional offices;
- Ensure leave monitoring of project staff, check the accuracy and proper completion of monthly leave reports;
- Analyze the potential problems concerning administrative-financial issues and take respective measures to provide adequate project's resources on time for implementation of the project activities;
- Encourage awareness of and promotion of gender equality among project staff and partners;
- Ensure full compliance of administrative and financial processes and financial records with UNDP rules, regulations, policies and strategies;
- Define the cost-effective measures for optimal use of resources of the project;
- Perform other duties related to personnel, administrative and financial issues of project as required

4. Administrative/Logistics and Procurement Assistant

Duties:

Under the guidance of Project Manager, the Administrative/Logistics and Procurement Assistant provides support to project implementation performing a variety of standard administrative/logistics and procurement processes ensuring high quality and accuracy of work. The Administrative/Logistics and Procurement Assistant promotes a client, quality and results-oriented approach.

The Administrative/Logistics and Procurement Assistant works in close collaboration with the Environment and Energy Unit, UNDP Operations, projects staff and other UN agencies staff to exchange information and ensure consistent service delivery complying with UNDP rules and donor's requirements.

Administrative/Logistics and Procurement Assistant performs the following duties and responsibilities:

- Assist in administrative and logistical arrangements for the project events (meetings, workshops and conferences) renting of premises, arrangement of accommodation, transportation, and provide of all related documents in time and properly, etc.;
- Assist the Procurement Unit in organizing competitive selection of a venue and services for the conferences, workshops and trainings according to the UNDP established procurement procedures;
- Assist the Administrative/Finance Assistant (AFA) with organizing and preparing procurement cases in line with UNDP rules;
- Assist in travel arrangements including liaison between travel agency for a route selection, finalization and purchase of tickets, visa arrangements for participants and experts according to the established procedures;
- Assist Project staff, experts and consultants on all respects of allowances, travel claims and other financial and administrative matters;
- Assist in maintenance of proper filing system for respective documentation;
- Coordinate and follow-up logistics and procurement issues with all respective units in operations;
- Perform other admin/logistic and procurement duties as required by the Project Management.

5. Driver

Duties:

Under the direct supervision of the Project Manager, the Driver will:

- Drive project vehicle for the transportation of authorized personnel, including international experts, and delivery and collection of mail, documents and other items;
- Meet official personnel at the airport and make errands for the project as required;
- Be responsible for the day-to-day maintenance of the assigned vehicle, check oil, water, battery, brakes, tires, etc.;
- Perform minor repairs and/or arrange for repairs as needed;
- Log official trips, daily mileage, gas consumption, oil changes, greasing, etc. and report to Project Manager on a monthly basis;
- Ensure that the vehicle is kept clean;
- Ensure that the steps required by rules and regulations are taken in case of involvement in accident;
- Perform other duties related to the scope of work of the Driver as required.