**Title of the project:** Scaling up effective community resilience and flood risks management in Almaty Regions

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| **Requesting Office(s)** | UNDP Kazakhstan | |
| **UNDP Strategic Plan Area of Work** (Outcome/Outputs): | Outcome 1.3: Ecosystems and natural resources protected and sustainably used, and human settlements resilient to natural and manmade disasters and climate change/ Selected settlements have adopted integrated models for sustainable growth. | |
| **Thematic windows**  *A proposal can select more than one sub-area from more than one thematic window* | 1. **Sustainable Development**   ☐ Sustainable Economies including Employment  ☐ Inclusive and sustainable social protection  ☐ Sustainable Natural Resource Management  🗹 Climate Change Mitigation and Adaptation across sectors  ☐ Increased energy efficiency and universal modern energy access.   1. **Governance and Peacebuilding**   ☐ Public administration, local governance, effective delivery of public services, and anti-corruption reforms  ☐ Human rights, rule of law and access to justice and security  ☐ Health and HIV related issues  🗹 Women’s participation at all levels of decision-making   1. **Building Resilience and Managing Risks**   🗹 Natural and human-induced disaster risk reduction and management  ☐ Strengthen national capacities in collecting, analyzing and using sex and age-disaggregated data and in analyzing disaster risk from a gender perspective  ☐ Peacebuilding and mediation  🗹 Disaster preparedness and recovery   1. **Cross-cutting area**   🗹 Sustainable Development Goals  ☐ Income inequalities  🗹 Innovations  🗹 Partnerships/South-south cooperation | |
| **Focal person** | Name: Rassul Rakhimov  Title: Head of Sustainable Development & Urbanization Unit  Email: [rassul.rakhimov@undp.org](mailto:rassul.rakhimov@undp.org) | |
| **Main location(s) of the initiative** | Almaty Regions of Kazakhstan | |
| **Start date / End date** | November 2016/November 2017 | |
| **Duration** | 12 Months | |
| **Total funding requested to the Facility** (in USD) | US$ 85,000 | |
| **Partner(s)** | * Committee on Emergency Situation and its territorial agencies * Regional and local governments in Almaty Regions * International Center for Disaster Risk Reduction in Almaty * Water Resources Committee in Ministry for Agriculture * National Water Dam Operator – RSE Kazvodkhoz * Subsidiary of the Committee on Emergency Situations - SE “Kazselezazchita” * Sanitary and Epidemiological Center in the Ministry of Health and Social Protection | |
| **Total funding** (in USD)  *Please state the total requested funds and other contributions to this project.* | **Main contributors:**  Requested Fund: (Catalytic and Scaling-up Facility) - US$ 85 000  UNDP Kazakhstan - US$ 30 000  International Center for Disaster Risk Reduction in Almaty – $19 000 (In Kind)  **Other Contributions:**  Akimat of Almaty region – $ 14100 (In-Kind)  Committee of Emergency situation – $ 54 800 (In-Kind) | |
| **Problem statement**  *Please provide a short and concise context analysis and problem statement, accompanied by supporting evidence for a good understanding of the background, what the initiative aims to change and why. What is the issue that the proposal is addressing and how the proposal is linked to national and regional priorities.*  *(Max 200 words)* | Kazakhstan experiences significant and damaging flooding. The major flood prone region of Kazakhstan is Almaty region where due to mountainous environment, most of the Almaty region is under a risk of the floods. Many of the districts of the Almaty region, especially the settlements of Talgar, Kaminka and Almaty city itself are at risk from climate induced flooding and water stress.  The Almaty region is also one of the most industrialized of Kazakhstan contributing 20% of the national GDP. The majority of these, floods and flood damages occur frequently in the city of Almaty, with more than 150 damaging floods in the region in last 30 years. The floods of 2014 were the largest and most damaging of the last 50 years and resulting in large scale devastation. The floods caused over $US 200 million in losses and damaged over 12,390 private and public buildings.  The costs of inaction are estimated only in Almaty region to amount to $US 18-25 million for infrastructure alone. Reducing the vulnerability of these districts requires to implement effective flood management options. Institutional capacity of the Almaty emergency departments is also insufficient to tackle the problems of increased flood frequency, damages and hazards, and decreasing availability of and access to water resources. Moreover, residents of affected area have not been involved in water and flood management decision making.  This proposal complements the Kazakhstan’s efforts to implement the principles of the Sendai Framework for DRR and contributes to the UNDP CO current portfolio on climate change and water management. In particular, the UNDP CO within the current CPD 2016-2020 is supporting Kazakhstan in building up sustainable and resilient urban settlements (SDGs 11 & 13).  This **project aims** to scale up effective water and flood management practices to reduce vulnerability to climate induced water stress and flood hazards in Almaty region.  The catalytic effect will be twofold: (a) at the national level the practices adopted in the largest city will serve to advocate for changes in national legislation, and thus have a much deeper impact and (b) at the regional level these practices will be shared with the neighboring countries through exchange at local level water management extension institutions dealing with risk planning and management. The project will make a catalytic effect first active involvement of relevant institutions in Kyrgyzstan and Tajikistan, as the countries with most relevant background in flood management.  The project aim will be accomplished through the following approaches:   * Catalyzing best international practices in flood management in Kazakhstan, strengthen in-country and Central Asian regional institutional capacity in flood risk prevention and ensure catalytic measures in Central Asia through the Almaty based International DRR center. * Scaling up the proposed approach to flood risk management by generating recommendation to comprehension of the National Disaster Preparedness Action Plan for enhancing its catalytic effect. * Mainstreaming the generated project experience through regular training and equipping local urban communities with skills and knowledge. * enhancing the capacity of the international DRR center for provision of the community based risk- mitigation planning The efficient and effective use of climate-related information to helping institutions build capacity to service needs across various sectors, including small and medium dam’s management, land-use planning, fisheries and power generation. * Increasing the ability of the local community on early warning network to forewarn of extreme climate events, strengthening both local, national and wider regional capacities to complement other disaster preparedness systems that will ultimately help the most vulnerable populations. * Demonstrating a simple and easily scalable flood protective belts along the two major flood prone pilot territories.   The baseline project is fully comprised with the National Disaster Preparedness Action Plan (NDPP) (2015-2020). As stated in Section (ii) strategic direction including Disaster Risk Reduction (DRR) there are following tasks: measure performance for population and territory protection against natural disasters, providing of monitoring, broadcasting and prevention of emergency situations. | |
| **Proposed approach**  *Please provide rationale on why this proposal is catalytic and/or scalable[[1]](#footnote-1). Please elaborate if the proposal is issue-based and multidisciplinary. How does the proposal address the above-stated problem, including the use of innovation, South-south/triangular cooperation, among others? Please elaborate on how the proposal will ensure that gender related issues are addressed. (Max 300 words)* | This proposal is the scale up of the previously successful experience in flood management implemented in Kyzylorda province. In line of Sendai Framework Programme UNDP CO under Central Asian Climate Risk Management project’s tested the use of flood reflective belts on the Syrdarya river in 2015, when this equipment helped save the lives of 77 rural households.  The novelty of this proposal lies in adapting previous experience for urban environment and scaling it up to the nationwide context through mobilization of International DRR center in Almaty and ensuring a catalytic partnership effect at the wider Central Asian regions.  **The Project proposal addresses three key issues**:  (a) catalytic effect at national level: procuring and installing flood reflective belts in 2 urban settlements (city of Talgar and the district in Almaty – to be determined with the Almaty Emergency Department, but most probably Nauryzbay district). This will allow to develop cohesive risk management coordination between the local disaster response teams and communities, and in particular through drills on rapid deployment of flood reflective belts;  (c) catalytic effect at the regional level: the accumulated experience and knowledge will be shared with neighboring regions on the dialogue platform at the International Center for DRR in Almaty.  (d) institutional effect: local and regional communities and policy-makers are prepared for and are able to respond to climate induced multi-hazards to reduce potential losses of human lives, national economic infrastructure, livelihood and livelihood assets.”  **The catalytic and scalable potential of the proposed activity**:   * Simple, cheap yet effective technology for rapid deployment both in densely inhabited urban environments and remote rural communities. * Methodology on the use of equipment and related coordination mechanism of key stakeholders will become normative for use in other parts of the country. * The “Flood Breach Toolbox”, as a flagship product developed by the project, will become the first mobile comprehensive set of key information and reference materials that will be distributed in all 14 provinces and Almaty and Astana. This will provide the necessary outreach to the decision-makers, disaster reaction teams and communities nationwide. * The experience generated with this project will be integrated into the curriculum of dam safety engineers.   **The multidisciplinary effect will result in improving**:   1. quality of water supply and services (WSS); 2. disaster risk prevention and reduction; 3. healthcare services and hygiene; 4. economic well-being in the urban settlements.   The implementation of the project will contribute to the building of sustainable and resilient urban settlements in the disaster-prone region of Kazakhstan.  **Mainstreaming Gender into Flood Management**  Since women and men have various needs, the gender sensitive needs assessment will be conducted. Moreover, the project intends to build enabling spaces for women to organize and participate in community water management decision-making, as well as build women’s leadership skills. The activities will also deepen understanding of the role of women and men in emergency situations and flood response  In particular, this will result in;   1. identifying the various needs of each gender in floods and including a set of need-accustomed measures into the government recovery programmes; 2. enhancement of role of women in the decision-making, especially in prioritizing risk zones and preventive measures; 3. develop innovative, context specific capacity development initiatives to build women's leadership and empowerment and connect flood risk management capacity building to livelihood economic security. 4. women empowerment and building local partnerships through the different forums e.g. Provincial Council meetings, CSO forums and DRR meetings. 5. enhancing the role of women in the transmission of knowledge, expertise and skills to certain vulnerable to DRR threats groups of society, i.e. small children, elderly and disabled. 6. coordinate the delivery of the Women’s Transformative Leadership training, ensuring that the training is in line with a women’s leadership transformative agenda. 7. develop the first national case of gender oriented DRR management “success story” – a case study which shows gender sensitive approach.   **Enhancing South-South & Triangular Cooperation**  The project provides catalytic facilities to the South–South Cooperation in disaster risk reduction by matching “well-informed demand” with “responsive supply” and supporting public, private, and civil society partnerships between institutions and organizations in Kazakhstan and Central Asian countries.  The project will exchange flood risk management solutions, and provide practical guidance and support to other countries in Central Asia (through already existing International Center for DRR in Almaty). The primary aim is to foster existing partnerships with DRR authorities in neighboring countries that can be sustainable beyond the life cycle of the project.  The project activities through a South-South Cooperation will involve developing and sharing knowledge and experiences about evidence-based public policies and action plans on flood risk management, including hydrological monitoring and evaluation; piloting specific risk reduction technologies or interventions; strengthening organizational and institutional capacities, including training and mobilization of “International DRR Center of Almaty; and designing innovative financing approaches, such as risk transfer at the Central Asian countries level. The key performance criteria for South-South Cooperation are the following:   * Catalyze or leverage additional technical and financial resources for country-level actions in disaster risk reduction and recovery, including climate change adaptation; * Ensure the sustainable development or expansion of country-level and regional capacities for disaster risk reduction; * Impact the magnitude and quality of national disaster risk reduction planning and programming.   Thus, South - South Cooperation concept within the particular project will foster the Kazakhstan to play a regional leadership and ownership of the disaster risk reduction agenda at Central Asian countries level. To capitalize on existing flood management innovations and initiatives of the South it will facilitate networking and knowledge sharing programmes. | |
| **Expected outputs** | The objective of the project is to scale up interventions on enhancement of flood risk management effectiveness within major flood prone river basins of Almaty regions, building upon initiatives demonstrated within UNDP Project “Central Asian Climate Risk Management project”.  Therefore, scaling up outputs proposed by the Sustainable Urbanization, Energy and Environment Unit is two-fold:   1. **Output 1 -** Key institutions have capacities, technical skills, tools and methods to promote catalytic and scaling up flood risk management practices for water stress and flood mitigation. (updated national preparedness framework, flood risk guidance, flood risk hazard maps, small and medium dam management guidelines, etc.);    1. **Activity result 1:** Recommendations to National Disaster Preparedness Action Plan (NDPP) (2015-2020) are submitted to the Committee on Emergency Situations to respond to adaptation needs and scale out best flood risk management practices    2. **Activity result 2:** Catalyzing regional knowledge sharing and developing institutional knowledge and technical capacity on gender-sensitive flood risk management practices for water stress and flood mitigation    3. **Activity result 3:** Developed “Flood Breach Toolbox”, including flood risk hazard maps and participatory mapping at the targeted community level 2. **Output 2 -** Pilot flood risk protection belts demonstrated in each pilot catchment to implement water and flood risk management measures.    1. **Activity result 1:** Gender sensitive approach to flood risk management and recovery, including awareness rising and capacity buildings    2. **Activity result 2:** Community resilience to floods risks improved by introducing locally tailored flood risk management information    3. **Activity result 3:** Piloted flood risk management measures is demonstrated to protect floods and associated mudflows. | |
| **Risk Management**  *Please provide brief details of any serious risks to the success of the project and how these will be mitigated; consider at which stage the risk should be flagged up to IRH.* | Risk 1: Entrenched sectoral barriers among environment, water and land management, and emergency situations may hamper improved flood risk management measures. | |
| Impact | High / Medium / **Low** |
| Probability | High / Medium / **Low** |
| Countermeasures | Under the output1 the project will address the importance of cross-sectoral approaches to effective flood risk management and under the second output the project’s capacity building work will be cross-sectoral in its design and execution. |
| Risk 2: Local state municipalities may incorrectly perceive that there will be additional financial costs in scaling up new approaches to flood risk management or damage, which may hamper the project’s efforts to reduce vulnerability. | |
| Impact | High / Medium / **Low** |
| Probability | High / **Medium** / Low |
| Countermeasures | The project will highlight the costs that local municipalities, rayon and national government agencies already incur due to flood damage. Plus, already introduced minimum cost mechanisms in Kyzylorda to provide incentives for scaling up new flood risk protective belts. |
| **Budget**  *Please provide below the estimated budget (in USD) with itemized breakdown including the 30% of CO cost-sharing. Please note that the standard UNDP cost-recovery arrangements regarding ISS and DPC apply.* | Budget is indicated in the separate Results and Resources Framework (please see below). | |

**Results and Resources Framework**

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| **INTENDED OUTPUTS** | **INDICATIVE ACTIVITIES** | **PARTNERS** | INPUTS |
| **Output 1 -** Key institutions have capacities, technical skills, tools and methods to apply advanced flood risk management practices for water stress and flood mitigation. (updated national preparedness framework, flood risk guidance, flood risk hazard maps, small and medium dam management guidelines, etc.);  **Baseline:**   1. No flood risk management concept is on national preparedness plan. 2. No capacity build on comprehensive flood risk management. 3. There is no updated risk and vulnerability assessment 4. No gender sensitive vulnerabilities and risks documented/prioritized/mainstreamed.   **Indicators:**   1. # of recommendations accepted in the new edition of national preparedness plan. 2. # of targeted individuals e.g. women, men and children with improved capacities and knowledge on flood risk management and early recovery. 3. # of additional gender specific risks and vulnerabilities identified (wellbeing indicators versus vulnerability factors). 4. # of gender sensitive priorities/actions identified upon gender segregated and children centered needs assessment.   **Targets:**   1. Updated National preparedness plan. 2. At least 120 state responsible representations are enhanced their knowledge on flood risk management. 3. Updated risk and vulnerability assessment with gender analysis and sex- and age-disaggregated data by the end of project. 4. Increased women’s and children’s participation in community water management decision making | **Activity result 1:** Recommendations to National Disaster Preparedness Action Plan (NDPP) (2015-2020) are submitted to the Committee on Emergency Situations to respond to adaptation needs and scale out best flood risk management practices   * The national preparedness plan and other related legislation revised to account for flood risk management. * Conjunctive flood risk management model and guidelines are developed. * Online knowledge management platform at the basis of the Almaty International DRR center (with forums and tools that present gender analysis based on sex- and age-disaggregated data).   **Activity result 2:** Catalysing regional knowledge sharing and developing institutional knowledge and technical capacity on flood risk management practices for water stress and flood mitigation   * Knowledge sharing workshops and trainings at the International DRR Centre in Almaty * Targeted training program in adaptive water and flood management, involving the equal participation of men and women with gender-based analysis of risks and solutions. * Community-based (gender disaggregated and children centred) early warning systems to disseminate flood risk information to the local communities   **Activity result 3:** Developed “Flood Breach Toolbox”, including flood risk hazard maps and participatory mapping at the targeted community level   * Flood risk assessments involving equal participation of men and women in affected communities and reflecting priorities differentiated by sex and age. * Community based and gender segregated and children centred trainings, simulation practices, development of flood management guidebooks and instructions. * Women and children-led events, lectures, presentations and movements/campaigns. | *UNDP sustainable urbanization, SDU unit, CoES, local akimats, CSO, NGOs and community* | |  |  |  | | --- | --- | --- | | ***Atlas Budgetary Account Code and description*** | ***Donor name*** | ***Amount (USD)*** | | 71300 Local consultants | *Catalytic and scale up fund* | 17 500 | | *UNDP* | *6 600* | | *International DRR Center* | *4 900* | | *Other contributors* | *9 900* | | 71600 Travel | *Catalytic and scale up fund* | *6 500* | | *UNDP* | *4 300* | | *International DRR Center* | *0* | | *Other contributors* | *0* | | 72100 - Contractual Services (Workshops, Trainings, gender mainstreaming survey and professional development activity, support female headed households, forums. | *Catalytic and scale up fund* | *10 000* | | *UNDP* | *7 900* | | *International DRR Center* | *6 140* | | *Other contributors* | *13 900* | | 74500 Misc. | *Catalytic and scale up fund* | *1 000* | |  | *0* | | *International DRR Center* | *0* | | *Other contributors* | *0* | | **Sub-total for activity 1:** | *Catalytic and scale up fund* | *35 000* | | *UNDP* | *18 800* | | *International DRR Center* | *11 040* | | *Other contributors* | *23 800* | |
| **Output 2 -** Pilot flood risk protection belts initiated in each pilot catchment to implement water and flood risk management measures.  **Baseline:**   1. No relevant flood risk information is disseminated to local stakeholders 2. No flood risk management protective belts yet piloted, much less replicated.   **Indicators:**   1. Number of relevant and gender-responsive flood risk information is disseminated to local stakeholders. 2. An area of square meter (m2) in targeted river basin is protected. 3. Number of sub districts are protected from flood risk.   **Targets:**   1. At least 12relevantflood risk information is disseminated to local stakeholders 2. An area of 836 square meter (m2) in the targeted flood prone river basin. 3. At least 6 sub districts are protected from the flood risks. | **Activity result 1:** Gender sensitive approach to flood risk management and recovery, including awareness raising and capacity building  **Activity result 2:** Community resilience to floods risks improved by introducing locally tailored flood risk management information   * + Development of flood risk management toolkits and box.   + Local community forecasting and response planning instructions and guidebooks.   **Activity result 3:** Piloted flood risk management measures to protect floods and associated mudflows.   * + Identification of most flood prone zones for installation of rapid embankment belts.   + Construction and installation rapid embankment belts.   + Conduct national show off day to demonstrate system of rapid embankment gabions. | *UNDP sustainable urbanization, SDU unit, CoES, local akimats, CSO, NGOs and community* | |  |  |  | | --- | --- | --- | | ***Atlas Budgetary Account Code and description*** | ***Donor name*** | ***Amount (USD)*** | | 71300 Local consultants | *Catalytic and scale up fund* | *8 200* | | *UNDP* | *4 900* | | *International DRR Center* | *3 100* | | *Other contributors* | *15 900* | | 71600 Travel | *Catalytic and scale up fund* | *6 900* | | *UNDP* | *1 700* | | *International DRR Center* | *960* | | *Other contributors* | *11 100* | | 72100 - Contractual Services (Workshops, Trainings, gender mainstreaming survey and professional development activity, support female headed households, forums and demonstration of protective belts along the flood risk zone | *Catalytic and scale up fund* | *26 100* | | *UNDP* | *4 600* | | *International DRR Center* | *3 900* | | *Other contributors* | *18 100* | | 74500 Misc. | *Catalytic and scale up fund* | *1 000* | | *UNDP* | *0* | | *International DRR Center* | *0* | | *Other contributors* | *0* | | 72510 Publications | *Catalytic and scale up fund* | *7 800* | | *UNDP* | *0* | | *International DRR Center* | *0* | | *Other contributors* | *0* | | **Sub-total for activity 2** | *Catalytic and scale up fund* | *50 000* | | *UNDP* | *11 200* | | *International DRR Center* | *7 960* | | *Other contributors* | *45 100* | | **Grand total:** | *Catalytic and scale up fund* | *85 000* | | *UNDP* | *30 000* | | *International DRR Center* | *19 000* | | *Other contributors* | *68 900* | |

1. COs may refer to the attached Project Navigation Map (drafted by Johannes Linn) and use the questions as a guide when checking the scalability and catalytic nature of the proposal. [↑](#footnote-ref-1)