

**United Nations Development Programme**  
**Country: UZBEKISTAN**  
**Project Document**

<b>Project Title:</b>	<b>Local Governance Support Project: participation and partnership (LGSP)</b>
<b>UNDAF Outcome(s):</b>	4. Strengthening efficiency, inclusiveness and accountability of the public administration at central and local levels
<b>Expected CP Outcome(s):</b>	<b>3.2 Outcome:</b> Strengthened public administration at all levels that exercises efficient, accountable and inclusive governance
<b>Expected Output(s):</b>	<b>Output 3.2.1:</b> Strengthened govt and Parliament capacity (legislative, representative and oversight functions) at national and local levels to execute public administration in a more transparent, fair and efficient manner
<b>Implementing Partner:</b>	Cabinet of Ministers of Republic of Uzbekistan
<b>Responsible Parties:</b>	Khokimiyat of the pilot regions, civil society, private sector, Chamber of commerce and industry, other ministries, departments, organizations

**Brief Description**

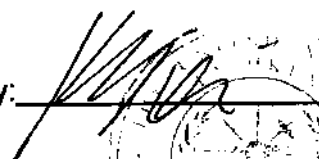
First, it aims to promote Public Administration reform aimed at decentralized governance system through creating of enabling environment, policy advisory services and capacity building of civil servants. Second, to enhance the partnership capacities of local governments with civil society and private sector through: 1. public relations and e-Government tools; 2. showcasing pilot initiatives in 2 regions of the Republic of Uzbekistan on public-private partnerships in the area of communal services, management of recreation resources.

Programme Period:	<u>Country Programme 2010-2015</u>
Key Result Area (Strategic Plan):	Fostering Democratic Governance.
Atlas Award ID:	<u>00074296</u>
Start date:	<u>1/03/2010</u>
End Date:	<u>31/12/2013</u>
PAC Meeting Date:	<u>17.02.2010</u>
Management Arrangements:	<u>NIM</u>

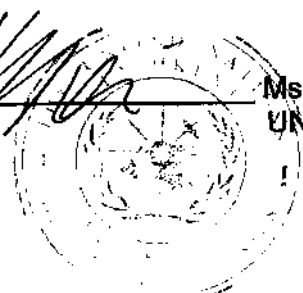
2010 AWP budget:	<u>USD 280.000</u>
Total resources required:	<u>USD 1.830.000</u>
Total allocated resources:	<u>USD 1.830.000</u>
• Regular	UNDP TRAC <u>USD 1.800.000</u>
• Other:	UNDP HQ <u>USD 30.000</u>
	Donor
	Government
Unfunded budget:	—
In-kind Contributions:	—
Government:	Office premises, communication

Agreed by:  Mr. Elyor Ganiev,  
Deputy Prime-Minister,  
Cabinet of Ministers

Date: 14/III-10

Agreed by:  Ms. Anita Nirody  
UNDP Resident Representative

Date: 24 FEB 2010



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## **I. SITUATION ANALYSIS**

### **1.1. Introduction**

Governance in the context of UNDP programmes is understood as the process through which societies take and implement decisions on the allocation of public resources to address societal needs. Democratic governance implies that the governance process is organized based on broad participation of all groups in society, that the institutions through which decisions are formulated are open to societal participation that these take full account of inputs from society. To have a democratic system of governance does not necessarily imply that one has a system defined “good governance”. Good governance therefore implies that the governance process is not only conducted based on democratic principles, but that it also respects the principles of effectiveness and efficiency, in other words, that societal problems are addressed timely and with a minimum use of available resources.

In 2000, the public sector reform was declared as a priority by President Islam Karimov. The administrative reform, as a whole, appears to be focused on transferring functions to local levels of government, as well as decentralizing certain social welfare functions to the community level. As part of the reform process the government has planned to decrease the number of civil servants approximately by 30% as government structures were downsized to 27 administrations and public economic entities to 40 thousands civil servants. In 2005, a two-chamber parliament was formed, certain functions of the government were transferred to other branches and a system of checks-and-balances and oversight functions were improved. With similar efforts underway at the local level, there still remains a rigid vertical subordination between local and upper levels of government; strong focus on mechanical and technical work with limited attention for strategic thinking and policy development; double subordination of territorial departments and subdivisions of ministries both by local authorities and line ministries; and duplication of functions of departments within local governments. Elimination of the duplication must become a key priority. For this purpose it will be necessary to conduct functional analysis (identify gaps and overlaps in functions, reducing of duplication in the activity of organizations and institutions streamlining and distribution of functions).

First, radical changes in the economic system, during the last 19 years, have led to the transformation and elimination of outdated institutions and creation of new ones. Rigorous private sector development in Uzbekistan in the recent years has once again emphasized the need for further improvement of the public administration system. The ability of regional and local governments to adjust to the recent challenges of economic transformation and function as a “business” unit, using participatory approaches in policy formulation and implementation, will determine the level of future economic development. This will help the central government to review its functions and choose the decentralization process to increase the effectiveness of the administrative system and achieve a positive impact on the economy. Thus, the Government could delegate some of its planning and financing functions and focus on strategic issues such as planning, control and oversight.

Second, the complex challenges related to the achievement of the Millennium Development Goals cannot be addressed by the central government alone. Delegation of functions to the sub-national tiers of government is considered as part of poverty reduction strategies and can thus be part of support programmes in key sectors such as education, health, agriculture, water, transport, etc.

In terms of development outcomes, local governance not only helps to ensure better interactions between public institutions and local actors especially when it comes to service delivery issues, but also leads to the sustainable and effective territorial development. Democratic local governance implies responsive and accountable local government bodies and institutions (which are primarily responsible for service delivery) and enables civil society to play its role as a partner in development. Effective local governance is critical to economic growth and poverty reduction that together represent a powerful instrument to pull disadvantaged groups out of poverty. Improving public institutions' capacity, accountability and responsiveness measures, with the participation of civil society at the local level, helps improve the livelihood of the poor and the disadvantaged, increases resources and contributes to consolidate democratic governance processes at all levels.

## **1.2. Legislative framework**

The public administration system in Uzbekistan is defined by the Constitution (1992) and the Law on Local Government (1993). Particularly, Article 32 of the Constitution guarantees the right of citizens to participate in the government and administration of public and state affairs, both directly and through representation. The Constitution defines the functions of the Oliy Majlis, as supreme legislative body (Articles 76-88), the President, as a head of state (Articles 89-97), the Cabinet of Ministers, as a supreme executive body (Articles 98) and local public administration bodies (Articles 99 through 105). Kengash of People's Deputies (councils) are local representative bodies (Article 99), led by Khokim (local chief executive) who thereby governs both representative and executive branches (Article 102). The Khokim of the region and the city of Tashkent is appointed and dismissed by the President of the Republic of Uzbekistan, while the Khokims of districts and cities are appointed and dismissed by the regional Khokim, with subsequent confirmation of the appropriate Kengash.

Local governments, according to the current legislation, are the bodies of local administration at the regional (viloyats) and local (tumans) levels.

The concept of self-governance is declared in the Law on Local Self-Government Bodies (1999), which guarantees the right of citizens for self-government considering villages and mahallas (local neighborhoods). The Law on Local Government prescribes Kengashes and Khokims to communicate (Article 1), render assistance and direct the work of local self-government bodies (Article 4). Local self-government bodies are not part of the state public administration system and are subject to control by the local government bodies (Article 7).

The system of governance in Uzbekistan is thus represented by three interrelated levels of public administration. The Oliy Majlis and the Cabinet of Ministers hold the supreme legislative and executive authority in Uzbekistan, while the President is the head of state. The ministries, state committees and agencies responsible for their respective thematic areas form the second tier of governance. Regional (viloyat), district (tuman), city Khokimiyats (local administration) and Kengashes of People's Deputies (councils), along with the territorial departments and subdivisions of ministries form the third level of state administration and governance.<sup>1</sup>

## **1.3. Baselines for UNDP intervention**

UNDP has gained significant experience in supporting public administration and local governance initiatives worldwide, with the portfolio of projects in more than 100 countries of the world.<sup>2</sup> In Uzbekistan, UNDP is already implementing a number of projects aimed at enhancing the government management system and local governance, namely:

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<sup>1</sup> <http://www.gov.uz/> - Portal of the State Authority of the Republic of Uzbekistan

<sup>2</sup> Based on findings in "Decentralised Governance for Development: A Combined Practice Note on Decentralisation, Local Governance and Urban/Rural Development", UNDP, 2004; and "Public Administration Reform: Practice Note", UNDP.

- (1) *Improving Public Sector Management Skills through Building Training and Research Capacity of the Higher School of Business under the State Academy for State and Social Construction (ASSC) under the President of Uzbekistan;*
- (2) *Improving Public Sector Management Skills through Building Training and Research Capacity of the State Academy for State and Social Construction (ASSC) under the President of Uzbekistan;*
- (3) *Area Based Development and Enhancement of Living Standards Programmes*, aimed at improving the capacity of the authorities to support local development plans and empowering communities to take part in and contribute to their socio-economic development, as well as stimulating competitive access to micro-financing mechanisms, with a specific focus on rural areas.
- (4) Under the *“Public finance Reform” UNDP* conducts comprehensive analytical work on such issues as defining the roster of expenditure obligations, which should clearly delineate the expenditure obligations among the different levels of budget; analyzing the tax potential of regions, improving the inter-budgetary transfers; as well as introducing amendments to the Law “On budget system”, which envisage gradual implementation of the elements of decentralization in budget execution;
- (5) Under the newly launched *“Capacity building for economic analysis and forecasting at national and local levels”* project with the Institute of Forecasting and Macroeconomic Research UNDP works on improving the methodology and practice of regional level development forecasting and planning.

UNDP's unique mandate in the area of poverty reduction and local governance helps the Government to initiate poverty reduction programmes; foster respect for human rights; prescribe the design of programmes with the greatest long-term impact on the poorest of the poor (especially in the rural area), emphasizing their participation in the design and implementation stages of the programmes. UNDP's extensive experience demonstrates that participatory governance initiatives promulgate public administration reform activities, especially in countries in transition. Therefore, UNDP is best positioned to provide technical assistance in the preparation of recommendations and strategies within the framework of national priorities of the Government of Uzbekistan and help address the interests of the most vulnerable and disadvantaged groups of society.

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## II. STRATEGY

### 2.1. National priorities

UN Development Assistance Framework (UNDAF) for Uzbekistan (2010-2015) outlines that main administration challenges in Uzbekistan lies in the centralized decision making and control processes. There is a need to foster the participation of civil society for more transparent work in government structures. The understanding for such needs is reflected in the Welfare Improvement Strategy (WIS), adopted by the Government of Uzbekistan. The WIS aims at enhancing the government management system for further reduction of administrative barriers undermining private sector development, stimulating foreign direct investments, fostering access to information and establishing government-business and government-civil society consultation platform to mobilize these parties in the processes of regional socio-economic development and local public service provision. Moreover, the Government envisages a large-scale capacity building programme for civil servants, development and strengthening of local communities in addressing local challenges and resource mobilization.

More specifically, the WIS aims at improving the public administration practices with respect to citizens' participation, transparency, accountability and efficiency. The WIS aims at:

(5.8.1) Improvement of policy making mechanisms, through:

- A) Optimizing mutual relations and clearer delineation of policy making powers between the executive and legislative authorities, at national and local levels;
- B) Development of mechanisms for collaboration between the government, legislative bodies, private sector and civil society in policy and decision making process;
- C) Facilitating free access to information on the activities of government bodies, and wider introduction of information technologies into the process of governance;
- D) Strengthening and development of local communities and creating a favourable environment for developing self-governance.

(5.8.2) Increasing government sector efficiency, through:

- A) Improvement of the organizational structure of the economic governance system and mechanisms of state decision making by analyzing functions, powers and responsibilities of all levels of governance to eliminate duplication of functions;
- B) Decentralization of governance, as well, as development of transition strategies (from decentration to power-sharing to full decentralization) including precise division of functions, tasks and responsibilities of central and local authorities, providing more authority and independence to local authorities in design and implementation of the local budget;
- C) Conducting civil service reform, by adopting relevant legislation and developing a professional training system for civil servants.

The Government has introduced a number of state programmes, which clearly reflect actions aimed at improving welfare of rural population in Uzbekistan. The living standards of the rural population can be improved by further development of production and social infrastructure, transport, water and energy supply, healthcare, communications and support to agricultural enterprises. The success of the state programme in the long-term outlook depends on innovative approaches to the local public administration reforms. Moreover, effective partnerships between and within governments, civil society and the private sector in regional development planning and public service provision, applying innovative partnership mechanisms in transportation, water supply and sanitation, environmental protection (energy conservation & low carbon emission), social services will also be the key determinants of success.

Women's empowerment and promotion of gender equality will be embedded in the activities of the project especially through the promotion of women's participation in the planning processes.

**Capacity development** of the civil servants (individual skill-building measures) is part of decentralization processes especially in developing countries where capacities are often limited in such areas as local leadership, management skills, technical support (local budgeting/financial management, organizational development, and human resource management), participatory approaches, and information for decision-making. Enhancing professional capacity should be considered as an integral part of the process and enhancing the human resources capacity by itself will not create autonomous local governments. Therefore, there is a need to strengthen LG capacity in terms of organizational management, networking with other governmental organizations and strategic alliances in the broader environment.

### **Partnership strategy and coordination between stakeholders**

Decentralization processes are always cross-sectoral and involve all levels of economy and government. Under overall guidance of the Cabinet Ministers, UNDP will be able to maintain effective partnership with other major stakeholders, such as Ministry of Economy, Ministry of Labour and Social Protection of Population, Ministry of Finance, Communication and Information Agency (UzACI), Academy for State and Social Construction under the President of Uzbekistan, Chamber of Commerce and Industry, Mahalla Foundation, civil society and Khokimiyats of the pilot regions.

UNDP will also partner with UNICEF in promoting Good Governance for Achieving Children's and Women's Rights and other bilateral donors.

The project will establish a governance mechanism and structure for regular consultation and coordination with all partners by creating thematic working groups that will meet regularly. The discussions and recommendations of such groups will be channeled to the Project Board.

### **Pilot approach**

Territorial development (TD) is an approach aimed at improving interaction between regional and central levels, by revealing the specific potential of different territories of a country through efficient and sustainable development strategies. This approach includes : i) adherence to working out development strategies on local level with broader participation of public and private stakeholders; ii) building capabilities to complement and adapt such strategies; and iii) integration of, and hence synergies between, sectoral policies at territorial scale. A *territory* here is defined as a socio-economic, geographic and administrative area with a shared identity (often with a common natural resource, economic base). TD seeks to build on endogenous territorial assets (people, economic activities, natural resources, culture), to identify the territory's needs, comparative advantages through specific development strategy.

By recognizing that competitiveness depends on a territory as a whole, TD takes a strategic approach to economic development. It encourages local authorities to take an active role in coordinating with the private stakeholders in order to stimulate local competitiveness.

The purpose of the pilot approach is to assess the results of the previous pilot initiatives through codifying best practices, preparation of recommendations and further scale-up of this model in other regions. Based on the criteria above and to provide better representation it is suggested to select two subsidized regions with low index of human development: Djizzak and Namangan regions.

## **2.2. Project goals and objectives**

The project will be implemented in the framework of the UNDP Strategic Plan for 2008-2011, within the focus area of "Democratic governance". The project also contributes to fulfill the UNDAF Outcome 5, signed and approved by Government of Uzbekistan: Strengthening the capacity and

partnership of government and civil society for more effective administration, with a corresponding Country Programme outcome on support to “public administration strengthened at all levels or more efficiency, accountability and inclusiveness”. Strengthening local governance and public administration system is also critical part of the UNDP Country Programme for Uzbekistan (2010-2015).

In this regard, the **main goals** of the project are:

**a) to create a favourable legal environment for decentralization and**

**b) to increase effectiveness, efficiency and transparency of local government bodies and enhance their partnership capacity with civil society and private sector in two pilot regions for further scaling up.**

At the outset, the strategy is to conduct a capacity assessment for local government bodies in pilot regions with regard to provision of public services to population, followed by designing a comprehensive programme, based on the recommendation of the assessment report (trainings, equipment, information, technical assistance). Piloting on the local level will be accompanied by working out institutional and legislative norms at national level with concrete recommendations to enhance the capacities of public administration entities.

The following **objectives** will be pursued in the project:

- 1) Promoting high level policy dialogue and reform of public administration for ensuring an effective, strategic and practical approach to decentralization;
- 2) Conducting analysis of institutional and legislative base and provide recommendations to optimize the functions and interactions between and within the executive and legislative bodies ;
- 3) Ensuring the access of population to the information related to the work of bodies of government at all levels;
- 4) Strengthening the capacity of civil servants that provide public services to the population as the result of series of professional trainings identified in the need assessment report;
- 5) Institutionalization the participation of citizens - private sector and civil society institutions - in the decision making process of local development (strategic planning, implementation);
- 6) Enhancing Public Private Partnership through the Introduction of modern and innovative approaches to provision of communal services in Namangan region and in management of recreation resources in Djizzak region.

**Local governance** comprises a set of institutions, mechanisms and processes, through which citizens and their groups can articulate their interests and needs, mediate their differences and exercise their rights and obligations at the local level. The building blocks of good local governance are many: citizen participation, partnerships among key actors at the local level, capacity of local actors across all sectors, multiple flows of information, institutions of accountability, and a pro-poor orientation.

Source: “Decentralized Governance for Development: A Combined Practice Note on Decentralization, Local Governance and Urban/Rural Development”, UNDP, 2004.

**Public administration** refers to:

The *aggregate machinery* (policies, rules, procedures, systems, organizational structures, personnel, etc.) funded by the state budget and in charge of the management and direction of the affairs of the executive government, and its interaction with other stakeholders in the state, society and external environment.

The *management* and implementation of the whole set of government activities dealing with the implementation of laws, regulations and decisions of the government and the management related to the provision of public services.

Source: “Public Administration Reform: Practice Note”, UNDP.



### **2.3. Project output, components, and activities**

Project output, components and activities are based and designed in accordance with the national priorities of Uzbekistan, expressed in the WIS (Sections 5.8.1 and 5.8.2) and the State Program on Rural Development and Improvement, to be endorsed and accordingly modified during the meetings, organized by all the stakeholders in order to complete project document. The main components of the project are composed in a way to allow endorsement and modification to take place. The project suggests conducting a number of phased-out activities, as well as activities that have short and long term impact within the existing governance system. Thus the project components will allow the government of Uzbekistan to provide a range of options and entry points for development and introduce new methods for the future and scale up activities in public administration and local governance reform which are best suited for Uzbekistan taking into account its national peculiarities and policy environment.

**PROJECT OUTPUT: Strengthened capacity of the government, civil society organizations and the private sector in two pilot regions for joint formulation and implementation of regional development strategy; and transferring the lessons learned to the national level for further feedback and consideration into national policy formulation on decentralization.**

#### **COMPONENT 1: Creating an enabling legal and policy environment for decentralization**

This is a policy level component of the project, through which UNDP will develop a mechanism of cooperation with Government of Uzbekistan and explore opportunities to provide assistance in public administration reforms at the local and national levels. The project aims to raise public awareness through a series of publications, experts' round tables/discussions and resource mobilization for supporting the reform efforts of the Government of Uzbekistan.

#### Activity 1: Promoting high level policy dialogue and reform of public administration for ensuring an effective, strategic and practical approach to pro-poor service delivery

**Baseline:** There is insufficient level of understanding of the concepts of public administration and modern management structures of governance among decision makers. Presently, there is no legislation on civil service reform that has been adopted by the government. Analytical studies carried out on ad-hoc basis by donors needs to be consolidated. Despite introduction of a post of a Deputy Khokim on Women's Affairs at all levels of governance, women are under-represented in the professional civil service, and the number of women holding executive positions remains limited (3.4% of women in executive power authorities)<sup>3</sup>. There is a need to develop affirmative action programmes to enhance women's participation and to elaborate a run-the-business reserve for women and to strengthen their representation in governance bodies.

#### Action 1.1: Awareness-raising and advocacy

The project aimed at raising awareness of national, regional and local government bodies, the civil society, the private sector and the population on various government initiatives. UNDP will be engaged in cooperation with the Government of Uzbekistan, for supporting the plans of the Government for further improving the public administration system and local governance in

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<sup>3</sup> Women and Men in Uzbekistan 2000-2005, Statistical Bulletin by State Committee on Statistics of Republic of Uzbekistan, p. 122, Tashkent 2007

Uzbekistan. The project will promote the establishment of an Interagency Working Group on Governance Reform (comprising of key line ministries, President's Office, local governments) to discuss issues pertaining to improvement of policy making mechanisms and increasing public administration efficiency and providing recommendations to the Cabinet of Ministers. In addition, respective chapters in the National Human Development Report will be written and awareness raising campaigns will be conducted (conferences, round table, workshops, etc.). The following publications that cover important aspects of local governance development in Uzbekistan will be produced and disseminated (with the preliminary agreement with national partners):

- "Professional civil service in Uzbekistan";
- Innovative approaches to local public service provision: comparative study" (including differentiation, where needed, of services for women, men, children, people with disabilities and appropriate monitoring)
- "The benefits of strategic partnerships between local governments and the civil society"
- "Corporate Social Responsibility: A way to give back to the community" (particularly women, youth, people with disabilities and other marginalized groups)
- "Further enhancing the role of local self-governing bodies in Uzbekistan"
- "Institutionalizing community participation in local development planning"

The project will scope the existing analysis and identify areas for further studies on local governance. A respective plan will be presented to the Project Board for its approval. The areas listed above may comprise some of the analysis.

*Action 1.2: Stakeholder analysis and resource mobilization for decentralization and public administration reform.*

In the course of full-scale piloting of other project components, the project management team will analyze the various stakeholders on national, regional and local level (government agencies, councils (Kengashes), research, academic and training institutions, the donor community, the private sector and the civil society). The relationships between and within stakeholders, along with their existing institutional capacity will be closely examined. Potential involvement in the project activities will be assessed and indicative roles and responsibilities will be assigned. Studies under Action 1.1. on prospects of introducing local self-governance and strategic partnerships with CSOs, as well as studies under Action 2.2 on calculation of costs related to the adoption of the Law on Civil Service will serve as the basis for analysis. Based on the findings and analysis, the project will explore establishing partnership opportunities and increase resource mobilization efforts. Such analysis and recommendations would be important for the Cabinet of Ministers of Uzbekistan for planning and decision making purposes.

*Action 1.3: Promoting equality and opportunities for greater participation of women in the professional civil service*

The project will commission a team of national and international experts to conduct an analysis of equality issues, pertaining to the public administration system in Uzbekistan. The findings of analysis will be presented at a national conference to generate discussion and action. Among other issue, the analysis and efforts of the project team will focus on:

- (a) creating a preconditions for favourable environment and equal opportunities for men and women in the civil service in a selected pilot regions through analysis of the environment and provision of recommendations;
- (b) ensuring that planning, implementation and evaluation of state programmes, government interventions and public services are conducted in a gender sensitive manner – interests and needs of men and women are taken into consideration equally, budgeted for and provide equal value and opportunity to both groups;

- (c) activities within the project promote women's participation (at least 30 % of women as event participants)

Activity 2: Institutional and legal framework for streamlining the work and relationships between and within executive and legislative authorities at national level reviewed (horizontal analysis)

**Baseline:** Through this component, the project aims to enhance the local governance system by optimizing the interaction between territorial branches involved in updating key legislation, facilitating greater citizen access to information, promoting modern and innovative public-private partnerships and training of local government officials. The activities in the pilot regions will focus on regional, district and local administrations to improve their management capacities and optimize functional organization. UNDP believes that the mechanism of cooperation between branches of the government at local and oblast levels and the central government still requires improvement<sup>4</sup>.

Action 2.1: Structural and functional assessment of regional and local executive and legislative bodies in selected pilot regions.

The 2005 UNDP/CER study "Main Directions of Local Government Reform in Uzbekistan" highlights a number of structural and functional challenges which need to be solved to enable efficient work of local governments. The project will contract a team of national experts/institutions to conduct similar up-to-date comprehensive analysis and provide recommendations. The project will make a presentation of its findings to the appropriate authorities. Data that will be collected during the study at the local level (component 3) will be reflected in the presentation. The project will assist in the development of the legislative process, taking into account the needs and challenges of the local level government.

More precisely, the team of experts/institution will be asked to identify the potential for further improvement of current governance mechanisms and prepare a set of recommendations, to:

- Enhance interaction between of legislative and executive bodies at the national and local levels;
- Ensure clear division of legislative authorities between the representative and executive bodies, at national and local levels;
- Improve the organizational structure of the public and state economic administration system and state decision making by analyzing functions, powers and responsibilities of central and local authorities;
- Identify areas where more power and independence could be delegated or deconcentrated to local authorities, including the planning and the execution of local budgets.

Action 2.2: Improvement of the existing legislative framework and preparation of recommendations on new legislation.

The project will conduct a review of the legal framework, related to local self-governance bodies and the public administration system. The project will recruit national and international experts to analyze laws, regulations and policies in order to identify the gaps and areas where further improvements may be needed, including gender analysis of legislation. Findings from the legal review will be thoroughly analyzed and current analysis and recommendations will be discussed at a national conference, which will be attended by all involved ministries, government agencies and

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<sup>5</sup> Law on local government # 3PY-90 from 11 April 2007

organization and representatives of relevant parliamentary committees. In particular, the following existing framework laws will be analyzed:

- The Law on Local Governments
- The Law on Civic Self-Governing
- The Law on NGOs
- The Law on Guaranteeing the Activity of NGOs
- The Law on Strengthening the Role of Political Parties in Renewing and further Democratization of the State Governance, Modernization of the Country
- The Law on Public Associations

Progressive legislation in the following areas will be proposed including drafting, holding series of consultations, advocacy:

- **The Law on Civil Service**
- **The Law on Administrative Procedures**

The international experience and practices, that are relevant to Uzbekistan, as well as public administration reform implementation plan, will be also discussed. Analytical papers and phase by phase strategy of public administration reform will be developed.

### Activity 3: Facilitation of free access of population to the information related to the work of government bodies at all levels

**Baseline:** Citizens have limited access to information on government bodies due to the weak capacities of these institutions to provide quality data. The results of monitoring over the regularity of updates of accessible 54 websites showed that 37.7% of government institutions don't update their official websites on a weekly basis with current activities and news relevant to respective institutions (including respective industry developments), 41.5% of government institutions update their websites less than once per week, and only 20.7% of government institutions update their websites more than once per week<sup>5</sup>.

Despite the fact that there have been substantial reforms to provide better access to information on the activities of the government from the national level information from the local authorities remain mostly unavailable. If available, the local agency websites offer very limited information, and limited access to the internet. It is often difficult to find basic information on budgets and programmes, tax collection, revenue and expenditures, administrative services, business registration procedures, among other services. Regional and local government bodies do not have experience and the trained personnel who have the responsibility to provide basic information to the public and the media.

#### *Action 3.1: Institutionalization and capacity building of media-services/PR for local governments*

To facilitate greater access to information, the project will formulate mechanisms to establish professionally trained media-service for local governments. The approach will be proposed in a set of legislative recommendations to be included in the relevant legislation on the structure of local administrations. Trainings for national, regional and local level media-services will be formulated and conducted. A "Handbook for Press Secretaries of Local Governments" will be developed and

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<sup>5</sup> Review of ICT Development in Uzbekistan 2006-2008, pp 48-50, ICT Policy Project, UNDP and UzACI, 2008

published. However, 'confidentiality clauses and other legal requirements of the Republic of Uzbekistan on state secrets will be taken into account.

*Action 3.2: Introduction of E-Government in the pilot region.*

Wider introduction of e-Government at national, regional and local level has long been a priority on government's reform agenda to strengthen the upcoming Development Strategy on information society and ICT for development in the regions aiming to reduce disbalance between center and regions. The project will use the extensive experience of UNDP in the ICT in Uzbekistan, which has an ongoing project. Through this project, e-document flow between and within local, district and regional Khokimiyats in the pilot regions will be established. The project will be monitored and its impact on service delivery and adjustments will be made as required. The project experience and lessons learned will be documented. As well a toolkit and a progress/evaluation report will be developed so that the tools and instruments can be used for replicating such an initiative in future.

**COMPONENT 2: Strengthening capacity of local administrations through capacity assessment, professional trainings and promoting partnership with civil society and private sector.**

*Activity 4: Strengthening capacity of civil servants to provide public services to the population through professional trainings and introducing of modern and innovative approaches to rural/urban development.*

**Baseline:** Government employees regularly upgrade their qualifications in the Academy of State and Social Construction under the President, as well as in the other educational institutions. However, trainings on the civil service and development programs are conducted in an academic style, and rarely in the form of forums or information-exchange workshops.

There is a lack of systemic approach to capacity development and training of civil servants at the regional and local levels and training needs are assessed on an ad-hoc basis. Moreover, the existing training framework focuses primarily on high-level officials (khokims and deputy khokims), while there is a need to develop capacities of middle and entry-level civil servants.

*Action 4: Capacity assessment of civil servants for public service delivery in two pilot regions conducted*

Generally, capacity assessment is concerned primarily with the functional aspects of service delivery –namely engagement of stakeholders in service delivery planning, defining the mandate of the authorities, assessing the situation, planning and budgeting for service delivery and implementing the service delivery functions. Capacity assessment is also to be conducted to monitor and evaluate the services. A secondary aspect of the assessment will review the internal human resource management aspect of the agency/organization, as well as, accountability and knowledge measures, and information and communications technology programmes of the authorities.

*Action 4.1: Training needs assessment at regional, district and local level in the pilot region*

By working closely with relevant academic institutions, the project will commission a national/international institution to conduct a training needs assessment of administrations at regional, district and local level, disaggregating the needs of men and women and also by the level of civil service. Based on the results of the needs assessment, the project will produce a comprehensive report, which will include recommendations on training of local government officials

within the current project (media-service, e-governance, participatory development planning for civil society and the private sector, etc.). The needs assessment will help to formulate priority areas and training module for various departments and the sequence of training activities. New curriculum will be institutionalized under the Academy for State and Social Construction.

*Action 4.2: Implementation of a series of trainings for regional, district and local government officials in the pilot region (training modules, including self-learning)*

Based on the results of the training needs assessment and the training module, the project team, in close collaboration with the ASSC and other partners, will conduct a series of professional trainings for local government officials, with involvement of both national and international experts as well as through the peer-to-peer approach. Although, the comprehensive list of training areas will be identified during the needs assessment, the topics may include Public Administration Theory, Financial management, Statistical Analyses, gender mainstreaming and gender budgeting, ICT and e-governance, social partnerships, WIS and the MDGs, financial audit and program evaluation, leadership ethics, cost-benefit analysis, working with the media, strategic planning, forecasting, interaction with the local elected bodies, etc.). An online training portal managed by the project for government officials ([www.training.uz](http://www.training.uz)) containing all training related information for local governments will be created. Local government officials, identified through a competitive selection process, will be offered an opportunity to participate in Study Tours to exchange experience and share best-practices in local public administration. Partnership with other relevant countries and institutions will be recommended.

Activity 5: Civil Society Partnership: Institutionalization of the mechanism of participation of citizens and civil society institutions in the process of local development and strategic planning

**Baseline** In general, the comprehensive legal framework for NGO activities in the country is adopted, however the number of professional and community-based NGOs is limited. The government recognizes the need to move from the “strong state, to the strong civil society”, but the involvement of the civil society in policy formulation and decision making process at the local level remains very low.

Similarly, the private sector contribution to the regional, district and local development planning is also very limited. Local governments could further stimulate SME development by easing and facilitating a more customer-friendly approach through the provision of administrative and information services.

This type of sectoral planning is characterized by an insufficient evidence-based and holistic analysis of the specific issues and challenges in the various areas that are the root causes of the challenges. Regional and district development plans generally lack a sound strategic approach which would envisage consultations with various population groups regarding the issues related to prioritization of thematic goals (poverty alleviation, employment promotion, environment protection etc.) that would reflect the contributions of each sector to the achievement of the priority goals.

As indicated in the UNDP/CER study of 2005 titled “Main Directions of Local Government Reform in Uzbekistan”, “the key role in the forecasting and development of investment programmes (short-term and strategic forecasting) are given to sectoral approach and departmental interests. The specific characteristics of certain regions are not considered during the formulation of sectoral and territorial programmes... (short-term and strategic forecasting) are among the weakest (areas of competence of the regional Khokimiyats)”.

One of the objectives of the WIS is to achieve the institutionalization of a consultation process between the Government, Parliament and stakeholders within the framework of the formulation, implementation and monitoring of strategies and development programmes. This component of the project aims at supporting the implementation of WIS focused at the sub-national level. It seeks to raise the awareness of central and local government actors about the international experience in participatory strategic planning and to support the formulation of a government programme for the institutionalization of more participatory regional and district strategic planning process.

Action 5.1: Assessment of the existing regional and district planning process

Cabinet of ministers together with UNDP will jointly draw up the terms of reference and contract a national institution to conduct the assessment. The assessment will consist of:

- Identifying the shortcomings of the current system from the point of view of adequately assessing the situation and needs of the regions and districts; in consultation with the concerned stakeholders identifying the strategic goals and objectives of the regions/districts and ensuring proper monitoring and evaluation.
- The assessment will include a draft proposal for the gradual reform of the regional and district planning system which includes legislative and institutional changes as well as capacity building activities targeted at the concerned government officials at all levels. The proposal will include activities that can be rapidly introduced at relatively low cost and measures which will require longer term planning and significant donor support.

Action 5.2: Organizing study tours for selected central, regional and district officials to selected countries to gain hands-on knowledge on participatory strategic planning

The implementation of study tours is essential to enable government officials to gain hands-on knowledge and experience of the practices. Project team will develop a plan that identifies opportunities and sets clear criteria for participation. This plan will be presented to the Project Board for its review and approval.

Action 5.3: Organization of a national round tables/conference on regional and district planning with participation of a wide range of central, regional and district officials

The objective of the national round table/conference will be to discuss the findings of the Assessment (produced under Activity 5.1) and to study the experiences of other countries on participatory strategic planning. The round table/conference will include:

- A presentation by international experts of their respective country experiences and a discussion
- A presentation by the national experts of the findings and recommendations of the Assessment (produced under Activity 5.1) and a discussion of the challenges facing regional and district planning in Uzbekistan

Action 5.4: Organization of a national round table on regional and district planning with participation of representatives of civil society, private sector and government officials

The round table/conference, to discuss the complementary roles of local governments, civil society and the private sector, in the pilot region, will be conducted by the project. The participants will define and set priorities to consult and collaborate, based on common understanding of mandates, roles and contributions of each organization. A team of national and international experts will present the best-practices in participatory governance during the working sessions of the seminar. The participants, among others, will discuss the following:

- Enhance the role of Mahalla in providing state social assistance;
- Expand the role of civil society, the private sector, community based organizations (Mahalla) and local self-governing bodies in identifying and proposing infrastructure and community development projects to local authorities (Khokimiyat and Kengash), in the run up to the annual planning and budgeting process;
- Improve business environment as a catalyst of economic development;
- Encourage the participation of the civil society and the private sector in local policy and decision making process (through a joint Working Group, or any other permanent facility with the regional/district/local government).

*Action 5.5: Formulation of complex recommendation on reform of the regional and district planning system by an Inter-Ministerial Working Group supported by national experts*

This activity envisages the establishment of an Inter-Ministerial Working Group under the coordination of the Cabinet Ministers, tasked to prepare recommendations on the reform of regional and district planning system. The activities of the Working Group will be supported by national and/or international experts, as appropriate. The formulation of the recommendations will be based on the various aspects of the draft proposal on reforms prepared under Action 5.1 as well as the content of the discussions of the national conference organized under Action 5.3. The recommendations will be submitted to the higher authorities of all Ministries for comments and eventual approval. Upon approval by all stakeholders, the prepared recommendations, in the format of an Action Plan, will be presented to Cabinet Ministers for approval and adoption.

*Action 5.6: Strengthening capacities of NGOs (small-size non-government organizations) in the pilot regions.*

*Action 5.7: Introduction of clear mechanism of partnership between citizens and local government bodies through institutionalization of consultations procedure within the process of public administration (based on the CCI Public Councils' example) and monitoring of implementation of taken decisions.*

### **Types of mechanisms**

One can identify five main forms of institutionalizing consultations.

1) Circulating documents for familiarisation purposes This form of consultation is the most readily available and important and may also have potential as a form of engaging non-government organizations in the policy process. The spread of this mechanism may lead to a situation where no major decision is made without considering the opinion of NGOs

2) Working groups in charge of developing documents and draft decisions in conjunction with NGOs

3) Multilateral meetings;

4) Tripartite meetings (for instance, Government-Private Sector-Trade unions)

5) Consultative Councils

**Activity 6: Public Private Partnership: Introducing modern and innovative approaches to provide public services in the Namangan region and in the management of recreation resources in Djizzak region**

**Baseline:** As of 2007, according to UNDP reports only 8 public-private partnerships have been implemented<sup>6</sup>. The government is committed to promote public-private partnerships, for which

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<sup>6</sup> Report "Public-Private Partnership in Uzbekistan: challenges, opportunities and ways for introduction" p6, Business Forum of Uzbekistan project and Chamber of Commerce and Industry, 2007



relevant changes in the legislation have already been introduced. The local governments could further benefit from progressive experience of other developing countries in formulating adequate legislation and more cohesive and comprehensive public-private partnership strategies, particularly in the areas of public service provision (utilities and road construction, environmental protection and others).

*Action 6.1: Comparative analysis of public-private partnerships (PPP) in other countries*

The project will commission a team of experts to conduct a comparative analysis of PPP experience of other developing and developed countries. The team will produce a report, indicatively titled “Public Private Partnerships: Comparative Analysis and Recommendations for Uzbekistan”. The findings will be closely examined and used in identifying one or two priority areas, for which an effective PPP could be initiated in the pilot region. A national round-table involving national and local government officials, civil society and the private sector on problems and prospects of public-private partnerships in Uzbekistan will be conducted. Recommendations collected and key partnerships established.

*Action 6.2: Public-private partnership mechanism established and tested in the pilot region*

Based on the findings of the analysis, the project team, in close consultation and collaboration with the authorities in the pilot region, will launch a demonstration project on public-private partnership. For Jizzak region it is suggested establishing PPP in the area of ecotourism (by the example of the Zamin natural reserve), and for the Namangan region – PPP in the area of communal services. Any other initiatives (like ecotourism in Namangan region upon khokimiyat request) will be closely considered during the project implementation given government co-sharing. The administrative and financial mechanism for the initiative will be identified based on the recommendations of the analysis. Pilots will be analyzed, and recommendations drafted to scale up.

### III. RESULTS AND RESOURCES FRAMEWORK

<p><b>Expected Outcome as stated in the Country Programme Results and Resource Framework:</b></p> <p><b>Expected UNDAF Outcome 5:</b></p>	<p>5.2.1. Strengthening capacity of the central and regional government in the area of result-based management and budget planning to increase accountability through electronic governance.</p> <p>Increasing effectiveness, inclusiveness and enhancing the accountability of governance on central and regional levels.</p>
<p><b>Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:</b></p>	<p><b>Output 3.2.1 Indicator 2:</b> : Number of pilot initiatives undertaken at central and local levels that promote a greater participatory process for legislation, policy making and service delivery, in particular with the private and civil society sectors.</p> <p><b>Baseline:</b> 19 Mahalla based community information and resource centers in 4 regions using participatory forms of governance for improved rural infrastructures and better access to basic services.</p> <p><b>Target:</b> A strategy to improve dialogue and participatory processes between the Government and the private and civil societies is consulted and adopted, with at least 3 pilot initiatives undertaken by 2015.</p>
<p><b>Applicable Key Result Area (from 2008-11 Strategic Plan):</b></p>	<p>Fostering inclusive governance</p>
<p><b>Partnership Strategy:</b></p>	<p>Cabinet of Ministers – implementing partner</p> <p>Responsible parties – UNDP, Ministry of Economy, Ministry of Labour and Social Protection, Uzbek Agency for Communication and Informatization, Chamber of Commerce and Industry, Mahalla Foundation, Khokimiyat of the pilot region, other ministries and organizations</p>
<p><b>Project title and ID (ATLAS Award ID):</b></p>	<p><b>Local Governance Support Project (LGSP)</b></p>

INTENDED OUTPUT(S)	OUTPUT BASELINE(S)	OUTPUT INDICATOR(S)	OUTPUT TARGETS	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
<p><b>Strengthened capacity of the government, civil society organizations and the private sector in two pilot regions for joint formulation and implementation of regional development strategy; and transferring the lessons learned to the national level for further feedback and consideration into national policy formulation on decentralization.</b></p>	<b>COMPONENT 1: Creating an enabling legal and policy environment for decentralization</b>					
	<p>1.1. There is generally an insufficient understanding of the concepts of local governance, and progressive ways of public administration</p> <p>1.2. Analytical studies carried out on ad-hoc basis by donors needs to be consolidated</p> <p>1.3. Civil servants are predominantly male. In executive power authorities men constitute 96,6% and 3,4 % - women</p>	<p>1.1. Progressive understanding of governance and participatory governance concepts among state agencies, regional and district governments and officials</p> <p>1.2. Number of main partners and their contribution to the reform process</p> <p>1.3. Percentage of women in the civil service at the local level holding executive positions</p>	<p>Y2010: 1.1. The process of awareness-raising and an engaged dialog with key stakeholders – government, civil society, private sector and the general public is launched (not measurable)</p> <p>Y2011: 1.1. Socio-economic aspects of gender representation in local governments are well understood (equal representation of women and men in public administration) 1.2. The government is supplied with strategic analysis and blueprints on governance issues</p> <p>Y2012: 1.1 The reform needs are well understood and a Road Map for a gradual public administration and local governance reform are formulated and owned by the state 1.3. Equality provisions based on gender, age, and others are saturated throughout the public service system</p> <p>Y2013: 1.2. The number of</p>	<p><b>Activity Result 1: High level policy dialogue and reform of public administration for ensuring an effective, strategic and practical approach to pro-poor service delivery promoted.</b></p> <p><b>ACTIONS</b></p> <p>1.1. Awareness-raising and advocacy</p> <ul style="list-style-type: none"> <li>▪ raise awareness of national, regional and local governments, the civil society, the private sector and the general public on anticipated governance initiatives envisaged by the WIS.</li> <li>▪ Conduct high-level meetings and conferences with the Government of Uzbekistan, the parliamentarians, public and private organizations</li> <li>▪ Establish Interagency Working Group on Governance Reform in Uzbekistan</li> <li>▪ Prepare a series of policy documents (policy briefs, chapters in NHDR, special publications, etc.) and present them to the government and other stakeholders</li> <li>▪ Scope the existing analysis and research on local governance and identify major areas for further analysis and present to Project Board for approval</li> </ul> <p>1.2. Stakeholder analysis and resource mobilization</p> <ul style="list-style-type: none"> <li>• Assess the capacity of key stakeholders and their potential roles and contributions to the reform</li> </ul>	<p>UNDP, UNICEF, Ministries of Economy, Labour and Social protection of Population, Finance, UzACI, Chamber of Commerce and Industry, Mahalla Foundation, Khokimiyat of the pilot region, other ministries and organizations</p>	<p>Total for Activity 1 - <b>\$280 000</b></p> <p>Y2010 - \$30,000 LG analyses; Interagency Working Group (quarterly meetings); Publications;</p> <p>Equality Analysis; Staff salary; Office expenses.</p> <p>Y2011 - \$50,000 National Conference on Governance Reform; Publications; Staff salary; Office expenses.</p> <p>Y2012 - \$50,000 Road Map for Governance Reform; National Conference on Equality Issues; Staff salary; Office expenses.</p> <p>Y 2013 - \$50,000 IWG meetings (quarterly); Publications; National Conference on PPP; Staff salary; Office expenses.</p>

INTENDED OUTPUT(S)	OUTPUT BASELINE(S)	OUTPUT INDICATOR(S)	OUTPUT TARGETS	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
			women holding executive positions in the local government is at least 20%.	<p>process (on national, regional and local level: government agencies, councils (Kengashes), research, academic and training institutions, the donor community, the private sector and the civil society).</p> <p>1.3. Promoting equality and opportunities for greater participation of women in the professional civil service</p> <ul style="list-style-type: none"> <li>Establish a team of national and international experts to conduct an analysis of equality issues (men and women, youth, people with disabilities, etc.)</li> <li>Recommendations for creating of reserve of management positions for women</li> </ul>		
	<p>2.1. Out -of-date and incomplete institutional and legislative framework for relations among the central, regional and local executive and legislative bodies</p> <p>2.2. Existing pattern of relations among the central, regional and local executive and legislative bodies causes inefficient distribution of authority and responsibilities</p>	<p>2.1. Number existing laws and regulations reviewed and amended, and new ones proposed and adopted</p> <p>2.2. Number of abolished duplicative functions , between executive and legislative, central and local, and within local governments</p>	<p>Y2010: 2. A program on expert review of framework governance laws is initiated</p> <p>Y2011: 2.1. Structural and functional analysis of the executive and legislative bodies of central and local authorities is well underway 2.2. Consultative meetings and round table discussions between national and international experts are conducted on a quarterly basis (at least 30% women among trainers/participants)</p>	<p><b>Activity Result 2: <u>Institutional and legal framework for streamlining the work and relationships between and within executive and legislative authorities at the local and national level reviewed.</u></b></p> <p><b>ACTIONS:</b></p> <p>2.1. Structural and functional assessment at regional and local executive and legislative bodies in selected pilot areas</p> <ul style="list-style-type: none"> <li>Establish Public Administration Thematic Working Group (TWG)</li> <li>Establish working relationships with the relevant parliamentary committee</li> </ul> <p>2.2_Improvement of the existing legislative framework and preparation of recommendations on new legislation.</p>	UNDP, National and International experts with assistance from Parliament and input from Ministry of Economy, Uzbek Agency for Communication Information, Mahalla Foundation, National Association of Non-Governmental Non-Commercial Organizations, Khokimiyat of the pilot region, National and International	<p>Total for Activity 2 - \$230 000</p> <p>Y2010 - \$60,000 Legal Review; Institutional Review; PA TWG; Consultative meetings; Staff salary; Office expenses.</p> <p>Y2011 - \$60,000 Trainers/Experts; PA TWG; National Conference; Workshops; Consultative meetings; Comparative review of LG in other</p>

INTENDED OUTPUT(S)	OUTPUT BASELINE(S)	OUTPUT INDICATOR(S)	OUTPUT TARGETS	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
			<p>Y2012: 2.1. A package of recommendations for enhancing the structure, functions and relations of the executive and legislative bodies at national, regional and local levels is accepted and owned by the state 2.2. At least 7 existing framework laws are reviewed and amended; 3 new laws are proposed for consideration</p> <p>Y2013: 2. The government introduces quality changes into the structure and functional division of its governance system on national, regional and local level</p>	<ul style="list-style-type: none"> <li>▪ Conduct an inventory and support the review of the legal framework, pertaining to local governance and the government management system</li> <li>▪ Commission a legal review to a team of national and international experts to analyze laws, regulations and policies to identify areas where further improvements may be necessary, including gender analysis of legislation, and prepare a set of recommendations</li> <li>▪ Comparative analysis of local governance legislation in other developing and developed countries</li> <li>▪ Public and expert review (national/international) of framework legislation</li> <li>▪ Cost calculation for public administration reform</li> <li>▪ Consultative meetings</li> </ul>	<p>experts, Ministry of Economy, Agency for Communication and Information, Mahalla Foundation, National Association of Non-Governmental Non-Commercial Organizations National and International experts, Mahalla Foundation, Ministry of Economy, UZACI, Khokimiyat of the pilot region, NANNOUZ</p>	<p>countries; Staff salary; Office expenses.</p> <p>Y2012 - \$50,000 Public and Expert review of legislation; National Conference; PA TWG; Consultative meetings; Staff salary; Office expenses.</p> <p>Y 2013 - \$60,000 Trainers/Experts; PA TWG; National Workshop; Consultative meetings; Staff salary; Office expenses.</p>
	<p>3.1. Limited access of citizens/media to information on activities of government bodies, especially at the local level</p> <p>3.2. Regional and local governments have insufficient practical skills and inadequate number of personnel to provide quality and timely information on its activities to citizens</p>	<p>3.1. The number of citizen/media requests for information fulfilled; quality and content of information provided</p> <p>3.2. The number and professionalism of staff tasked with responding to information requests and vehicles (ICT) used for</p>	<p>Y2010: 3.1. Local governments identify the types of information that can be made widely available (based on citizen's opinion poll) 3.2. The concept of press-services is diffused among local governments</p> <p>Y2011: 3.1. E-governance experience on national level is analyzed , and recommendations for local governments are formulated</p>	<p><b>Activity Result 3: <u>Free access of population to the information related to the work of government bodies facilitated at all levels</u></b></p> <p><b>ACTIONS:</b> 3.1. Institutionalization and capacity building of media-services/PR for local governments</p> <ul style="list-style-type: none"> <li>▪ Prepare a concept paper with legislative recommendations to be included in relevant legislation on the structure of local administrations.</li> <li>▪ Conduct professional trainings for press-secretaries of local governments on dealing with citizen/media inquiries</li> </ul>	<p>National and International experts, Ministry of Economy, Tax Committee, Agency for Communication and Information Technologies, Chamber of Commerce and Industry, Khokimiyat of the pilot region</p>	<p>Total for Activity 3 - \$400,000</p> <p>Y2010 - \$50,000 Baseline Analysis; Concept Paper on Press-Services; Trainings for press-secretaries; PA TWG; ICT needs assessment; Equipment; Staff salary; Office expenses.</p> <p>Y2011 - \$150,000 E-government tools;</p>

INTENDED OUTPUT(S)	OUTPUT BASELINE(S)	OUTPUT INDICATOR(S)	OUTPUT TARGETS	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
	3.3. E-governance remains limited, especially at the local level	information provision  3.3. An estimate percentage of government business handled electronically and reductions in paper consumption	3.2. The pilot region establishes a mechanism for handling information requests from citizens and media (online, email, phone, etc.)  Y2012: 3.1. Press-services of local governments have gone through professional training (at least 30% women among trainers/participants); professional links with press-secretaries on national level is established 3.2. ICT needs are assessed and equipment procurement is within budgetary and time constraints  Y2013: 3.1. Number of information requests fulfilled doubles 3.2. Press-secretaries are institutionalized in the structure of local governments 3.3. G2G, G2B, G2C types of e-governance tested in the pilot region	<ul style="list-style-type: none"> <li>▪ Design ToR for local government press-secretaries</li> <li>▪ Conduct base-line analysis on the types of information that should be available without restrictions to the public</li> <li>▪ Publish the “Handbook for Press Secretaries of Local Governments”</li> </ul> 3.2. Introduction of e-Government in the pilot region <ul style="list-style-type: none"> <li>▪ Set up e-document flow between and within regional, district and local administrations;</li> <li>▪ Conduct ICT needs assessment and procurement of equipment</li> </ul>		Equipment; Workshops for governments, civil-society and the private sector; PA TWG; Handbook for Press-secretaries; Staff salary; Office expenses.  Y2012 - \$100,000 E-government tools; Training/Workshops; National Conference for press-secretaries of local governments; Staff salary; Office expenses.  Y 2013- \$100,000 E-government tools; Training/Workshops; Lessons-learned report; Staff salary; Office expenses.

INTENDED OUTPUT(S)	OUTPUT BASELINE(S)	OUTPUT INDICATOR(S)	OUTPUT TARGETS	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
<b>COMPONENT 2: Strengthening capacity of local administrations through capacity assessment, professional trainings and promoting partnership with civil society and private sector.</b>						
4.1. There is a lack of systematic approach to training and capacity development of civil servants, particularly at the local level  4.2. The existing training framework, focuses primarily on high-ranking officials (khokims and deputy khokims), while the capacity development needs of middle and low-ranking civil servants at the local level are not met	4.1. Inclusion of systematic capacity building and equality provisions in the new law on Civil Service  4.2. The number of middle and low-ranking officials, who participate in the trainings	Y2010:  4.1 Capacity Assessment of civil servants to provide public service delivery 4.2. Training needs of civil servants on national, regional and local levels are assessed (the assessment is gender sensitive)  Y2011:  4.1.. The training mechanisms for middle and low-ranking officials formulated (orientation, on-the-job training, peer-to-peer, etc.) 4.2. Staff training is included in the local budgets Y2012: 4.1. Increased professionalism of local government officials, promotes greater civil service reform discussions 4.2. Permanent training facility under ASSC is created for local government officials as capacity development is seen as an integral part of functioning of local governments Y2013: 4.2. The number of local	<u>Activity Result 4: Capacities of civil servants to deliver public services to the population enhanced through professional trainings and introducing of modern and innovative approaches to rural/urban management.</u>  <b>ACTIONS:</b> 4. Capacity assessment of civil servants for public service delivery in two pilot regions 4.1.Training needs assessment at regional, district and local level in the pilot region <ul style="list-style-type: none"> <li>▪ Conduct a training needs assessment through a national/international institution (desegregation of men and women)</li> <li>▪ Develop a training module, which incorporates training needs under components of this project</li> </ul> 4.2. Implementation of a series of trainings for regional, district and local government officials in the pilot region ( training modules) <ul style="list-style-type: none"> <li>▪ Implement a series of professional trainings, including linkage of national development priorities between public administration theory, financial management, gender mainstreaming, ICT, WIS and MDGs, etc.</li> <li>▪ Establish a training portal for local government officials (<a href="http://www.training.uz">www.training.uz</a>)</li> <li>▪ Conduct Study Tours to developing and developed</li> </ul>		Total for Activity 4 - \$385,000  Y2010 - \$60,000 Capacity Assessment; Functional analysis; Needs Assessment; Training Module; PA TWG; Staff salary; Office expenses.  2011 - \$100,000 Training website; Association of Local Government/website; Series of trainings; PA TWG; Staff salary; Office expenses.  Y2012 - \$100,000 Study Tours; PA TWG; Staff salary; Office expenses.  Y 2013-\$125,000 Study Tours; Series of trainings; PA TWG; Staff salary; Office expenses.	

INTENDED OUTPUT(S)	OUTPUT BASELINE(S)	OUTPUT INDICATOR(S)	OUTPUT TARGETS	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
			government employees who go through initial or on-the-job training doubles	countries (on competitive basis)		
	<p>5.1.Despite comprehensive legal framework, government-civil society, government-business dialog on local development issues remains very limited</p> <p>5.2.Further business development is constrained by administrative barriers</p>	<p>5.1. Number, genuine capacity and impact of NGOs and private businesses participating in the dialog with local governments</p> <p>5.2. Number and quality of new businesses in the region</p>	<p>Y2010: 5. Quality dialogue of governments with the civil society and the private sector in policy formulation and decision making is launched 5.1. Capacity development of NGOs</p> <p>Y2011: 5.1. Administrative barriers, hindering business development are assessed, and well acknowledged by all parties 5.2. G-B and G-C dialog are conducted on a regular base and produces tangible results (joint resolutions, declarations, projects, etc.)</p>	<p><b>Activity Result 5: <u>Civil Society Partnership: mechanism of participation of citizens and civil society institutions in the process of local development and strategic planning is institutionalized</u></b></p> <p><b>ACTIONS:</b> 5.1. Assessment of the existing regional and district planning process</p> <ul style="list-style-type: none"> <li>▪ Establish Local Governance Thematic Working Group (TWG)</li> <li>▪ Draft TOR for contracting a national institution to conduct the assessment</li> <li>▪ Regional workshop between parties to define mandates, roles and responsibilities</li> <li>▪ Develop a training module and conduct trainings for local governments, civil society and the private sector on participatory and local governance best practices</li> </ul>	National and International experts, Ministry of Economy, Ministry of Finance, Chamber of Commerce and Industry, Association of Business Women; Khokimiyat of the pilot region	<p>Total for Activity 5 - \$325,000</p> <p>Y2010 - \$50,000 LG TWG; Planning process assessment; Study Tours; Regional Workshop; Trainings for governments, civil-society and the private sectorStaff salary; Office expenses.</p> <p>Y2011 - \$100,000 LG TWG Round table on regional and district planning; Trainings/Workshops; Best practices assessment and</p>

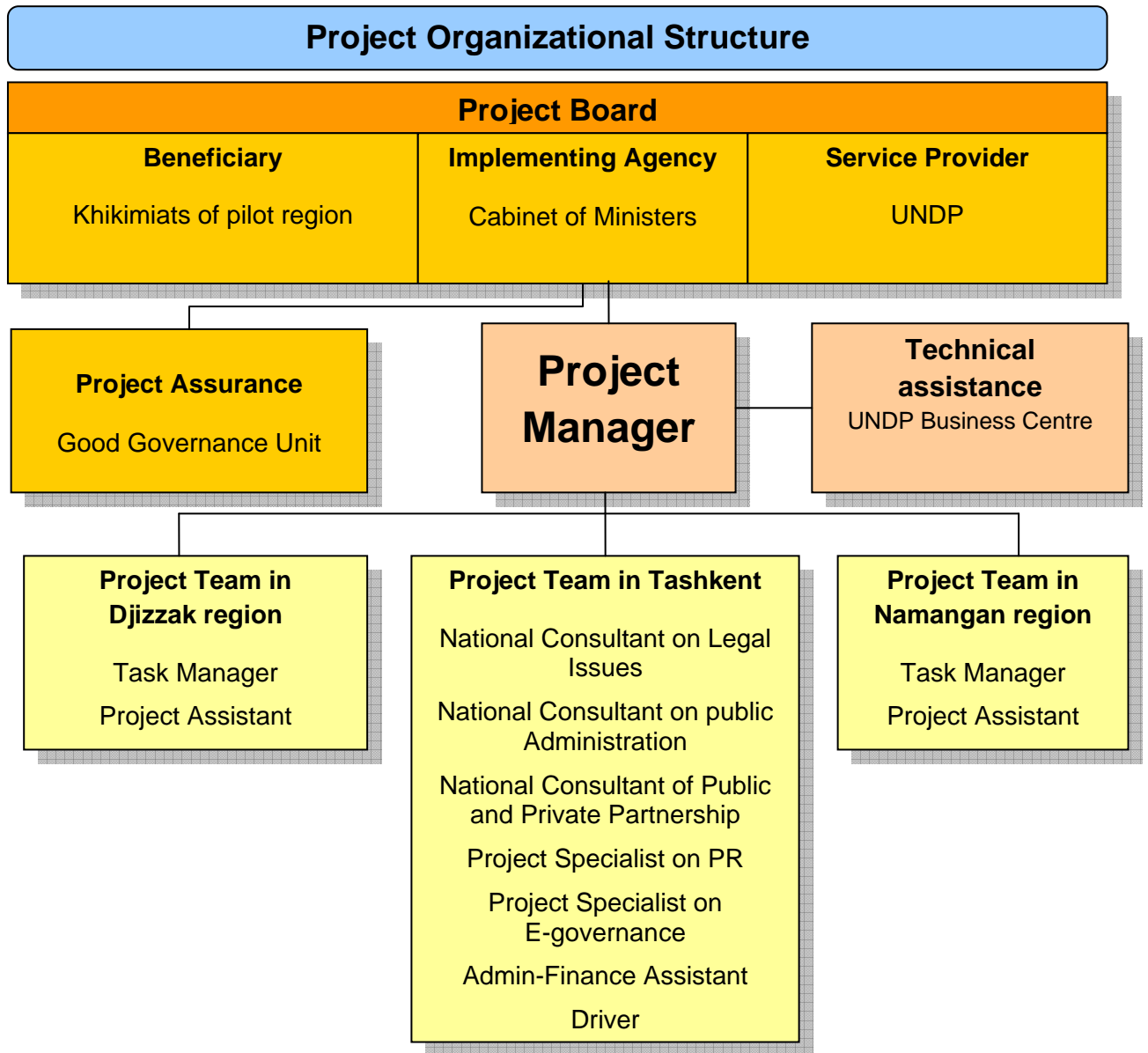


INTENDED OUTPUT(S)	OUTPUT BASELINE(S)	OUTPUT INDICATOR(S)	OUTPUT TARGETS	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
			<p>Y2012:</p> <p>5.1. Legislative and institutional changes to streamline business development are proposed and implemented</p> <p>5.2. The pilot region showcases participatory governance best-practices and provides lessons learned for national, regional and local governments</p> <p>Y2013:</p> <p>5.1 A statutory act on consultations mechanism between civil society institutions and private sector and Government adopted.</p> <p>5. The number of new businesses in the region doubles</p>	<p>5.2. Implementation of study tours for selected central, regional and district officials in selected countries to gain hand-on knowledge of their participatory strategic planning</p> <ul style="list-style-type: none"> <li>▪ Assess best practices from other developing and developed countries and formulate a pilot model for Uzbekistan;</li> </ul> <p>5.3. Organization of a national round tables/conference on regional and district planning with participation of a wide range of central, regional and district officials</p> <ul style="list-style-type: none"> <li>▪ Discuss the findings of the Assessment (under Action 5.1) and to enable a wider range of government officials at central, regional and district level to be exposed to the participatory strategic planning experiences of other countries.</li> </ul> <p>5.4. Organization of a national round table on regional and district planning with participation of representatives of civil society, private sector and government officials</p> <ul style="list-style-type: none"> <li>▪ Define and set priorities for consultations and collaboration, based on common understanding of mandates, roles and contributions.</li> <li>▪ A team of national and international experts, in a number of sessions will present the best-practices of other countries in participatory governance.</li> </ul> <p>5.5. Formulation of complex recommendation on reform of the regional and district planning system by an Inter-Ministerial Working Group supported by national experts</p> <ul style="list-style-type: none"> <li>▪ Inter-Ministerial Working Group tasked to prepare a programme</li> </ul>		<p>model for Uzbekistan; Equipment; Staff salary; Office expenses.</p> <p>Y2012 - \$100,000 LG TWG; Trainings/Workshops; Study Tours; National round tables; Publications; Staff salary; Office expenses.</p> <p>Y 2013-\$75,000 LG TWG; Draft Reforms Programme; Study Tours; Publications; Staff salary; Office expenses.</p>

INTENDED OUTPUT(S)	OUTPUT BASELINE(S)	OUTPUT INDICATOR(S)	OUTPUT TARGETS	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
				<p>of reform of the regional and district planning system</p> <p>5.6 Strengthening capacity of NGOs (small-size non-government organizations) in the pilot regions.</p> <p>5.7: Introduction of clear mechanism of partnership between citizens and local government bodies through institutionalization of consultations procedure within the process of public administration.</p>		
	6.1 The service provision is generally concentrated with governments, although some new forms of service provision and infrastructure development have been proposed	6.1 The number of projects in utilities, environmental protection, road construction and management and other areas, based on the public-private partnership model	<p>Y2010: 6.1. Existing partnerships analyzed, new progressive approaches applicable in the Uzbek context are identified</p> <p>Y2011: 6.1. Demonstration partnership identified and successfully implemented</p> <p>Y2012: 6.1. Long-term partnership strategy and mechanisms, based on PPP model are implemented in the pilot region</p> <p>Y2013: 6.1. Knowledge and lessons learned codified and submitted to the Government for scale up</p>	<p><b>Activity Result 6: Public Private Partnership: Modern and innovative approaches to provide public service and in the Namangan region and the management of recreational resources in Djizzak regions introduced</b></p> <p><b>ACTIONS:</b></p> <p>6.1. Comparative analysis of public-private partnerships in other countries</p> <ul style="list-style-type: none"> <li>▪ Conducting a comparative analysis of PPP models in other countries</li> <li>▪ Prepare a report, indicatively titled "Public-Private Partnerships: Comparative Analysis and Recommendations for Uzbekistan"</li> <li>▪ Organize a national round table for government officials, civil society and private sector</li> </ul> <p>6.2: Public-private partnership mechanism established and tested in the pilot region</p> <ul style="list-style-type: none"> <li>▪ Implement on pilot basis, a partnership, based on the PPP model</li> <li>▪ National round-table for discussing and adopting long-term PPP strategy for Uzbekistan</li> </ul>	National and International experts, Ministry of Economy, Tax Committee, Agency for Communication and Information Technologies, Chamber of Commerce and Industry, Khokimiyat of the pilot region	<p>Total for Activity 6 - \$280,000</p> <p>Y2010 - \$30,000 LG TWG; Equipment; Needs Assessment; Comparative analysis; National conference; Staff salary; Office expenses.</p> <p>Y2011 - \$80,000 LG TWG; Equipment; Trainings for governments, civil society and the private sector; Report on PPP; Staff salary; Office expenses.</p> <p>Y2012 - \$120,000 LG TWG; PPP Demonstration; National conference; Staff salary; Office expenses.</p> <p>Y 2013- \$80,000 LG TWG;</p>

INTENDED OUTPUT(S)	OUTPUT BASELINE(S)	OUTPUT INDICATOR(S)	OUTPUT TARGETS	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
						PPP Demonstration; lessons Learned report; Staff salary; Office expenses.
<p><b>Initial risk assessment:</b> The project has been designed based on national priorities outlined in the Welfare Improvement Strategy of Uzbekistan and the State Programme on Rural Development and Improvement. Low level of commitment due to insufficient understanding of the envisaged reforms at regional and local levels may delay project implementation. Similarly, weak capacity of the civil society may prevent a meaningful dialog from taking place. Detailed description of the risks and countermeasures is presented in Annex I – Risk Log.</p>					<p><b>TOTAL- \$1,830,000</b></p> <p><b>Y2010 - \$280,000</b>  <b>Y2011 - \$540,000</b>  <b>Y2012 - \$520,000</b>  <b>Y2013 - \$490,000</b></p>	

#### IV. MANAGEMENT ARRANGEMENTS



The project will be implemented under NIM modality. The *Implementing Partner* will be the Cabinet of Ministers of Republic of Uzbekistan. The Project Board will be responsible for making by consensus management decisions for a project when guidance is required by the Project Manager (PM), including recommendation for UNDP/Cabinet of Ministers approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure best value to money, fairness, integrity transparency and effective international competition.

This Board contains three roles, including:

- 1) An Executive; individual from the Cabinet of Ministers representing the project ownership to chair the group.
- 2) Senior Supplier: individual or group from UNDP representing the interests of the parties concerned which provide funding and/or technical expertise to the project. The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project.

- 3) Senior Beneficiary: individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries.

**Thematic Working Groups (TWGs)**, Consultative bodies acting as a forum for streamlining ongoing project activities. Being open to all stakeholders, each working group should engage representatives (specialists/experts) from key partners within the Government, civil society organizations, national research centres, and donor community active in the country. Upon project inception, the PM in close collaboration with Senior Beneficiary, Senior Supplier and Project Assurance will identify key participants for Public Administration and Local Governance TWG.

The project management will be facilitated from the Cabinet of Ministers side through the National Project Coordinator (NPC) at the level of the Head of Sector. Direct responsibility of the NPC-Executive will be provision of strategic advice, as well as coordination of the project activity taking into account interest of the Government. He/she will approve initial workplan of the project, according to which the whole project activity will be carried out.

Project Assurance is the responsibility of each Project Board member, however the role can be delegated. The Project Assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed.

The Project Support role provides project administration, management and technical support to the Project Manager as required by the needs of the individual project or Project Manager. The provision of any Project Support on a formal basis is optional. It is necessary to keep Project Support and Project Assurance roles separate in order to maintain the independence of Project Assurance.

Duties and responsibilities of the all project team members are presented in Annex II. - Terms of Reference.

#### Direct UNDP Country office Support Services to the Programme Implementation

The UNDP and the Cabinet of Ministers have agreed that the UNDP Country Office will provide the following support services for the project activities at the request of the [*Implementing Agency*]:

- (a) Identification and/or recruitment and solution of administrative issues related to the project personnel;
- (b) Procurement of commodities, labour and services;
- (c) Identification and facilitation of training activities, seminars and workshops;
- (d) Financial monitoring and reporting;
- (e) Processing of direct payments;
- (f) Supervision of project implementation, monitoring and assistance in project assessment.

The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Cabinet of Ministers is strengthened to enable it to carry out such activities directly.

When providing the above support services, the UNDP Country Office will recover the costs for providing Implementation Support Services on the basis of actual costs and transaction fee based on the latest Universal Price List. According to the corporate guidelines, these costs are an integral part of project delivery and, hence, will be charged to the same budget line (account in AWP) as the project input itself.

The procurement of goods and services and the recruitment of project personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. If the requirements for support services by the country office change during the life of a project, the list UNDP country office support services is revised with the mutual agreement of the UNDP resident representative and the Cabinet of Ministers.

The relevant provisions of the Standard Basic Assistance Agreement (SBAA) between the Government of Uzbekistan and the UNDP, signed by Parties on 10th June 1993, including the provisions on liability and privileges and immunities, shall apply to the provision of such support services.

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

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## 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 below.
- 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 (see annex 1), 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 Quarterly Progress Reports (QPR) 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.

## VI. QUALITY MANAGEMENT FOR PROJECT ACTIVITY RESULTS

<b>OUTPUT: Strengthened capacity of government, civil society and the private sector in two pilot regions for joint formulation of development strategy of the region and its implementation; lessons learned communicated to the national level for feedback into national policy formulation on decentralization.</b>		
<b>Activity Result 1 (Atlas Activity ID)</b>	<u>High level policy dialogue and reform of public administration for ensuring an effective, strategic and practical approach to pro-poor service delivery promoted</u>	Start Date: February, 2010 End Date: December, 2013
<b>Purpose</b>	There is generally an insufficient understanding of the concepts of local governance, and progressive ways of managing public affairs at regional and local level in Uzbekistan. Analytical studies carried out on ad-hoc basis by donors needs to be consolidated. Despite introduction of posts of deputy khokims on women issues at all levels of governance, women are still under-represented in the professional civil service, and the number of women holding executive positions remains limited (3.4% of women in executive power authorities). <sup>7</sup>	
<b>Description</b>	The project is aimed at awareness raising of national, regional and local governments, civil society, private sector and general public on governance best-practices will be launched. This includes production and dissemination of promotion materials, policy briefs, chapters in NHDR and awareness raising campaigns (conferences, round tables, seminars, government working groups and etc.)	
<b>Quality Criteria</b>	<b>Quality Method</b>	<b>Date of Assessment</b>
The process of awareness-raising and an engaged dialog with key stakeholders – government, civil society, the private sector and the general public is launched	- Interagency Working Group on Governance Reform is established with regular (quarterly) consultative meetings - High-level meetings are held on a regular basis and are providing guidance for the project	September 2010
The government is supplied with strategic analysis and blueprints on governance	- Policy briefs, NHDR, round-tables and workshops - Thematic publications are produced and widely disseminated - national conference on governance reform	March, 2011
Equality issues (gender, age, disability, etc.) are saturated throughout the public service	- percentage of women in the professional civil service, holding executive positions - national conference on equality issues and enhancing the role of women in the public service	September, 2013
The reform needs are well understood and owned by the state, Public Administration Reform Plan is developed and adopted by the state	- Road Map for Governance Reform is produced	September, 2013

<sup>7</sup> Women and Men in Uzbekistan 2000-2005, Statistical Bulletin by State Committee on Statistics of Republic of Uzbekistan, p. 122, Tashkent 2007



<b>Activity Result 2 (Atlas Activity ID)</b>	<u>Institutional and legal framework for streamlining the work and relationships between and within executive and legislative authorities at the local and national level reviewed.</u>	Start Date: July, 2010 End Date: December, 2013
<b>Purpose</b>	The institutional and legislative framework governing relations among the central, regional and local executive and legislative bodies causes inefficient distribution of authority and responsibility. The activity aims at streamlining the structure and functions of different branches and tiers of government.	
<b>Description</b>	Under this activity item, the project will conduct a structural and functional assessment of the branches of government at all levels, analyze their mutual relations and propose optimization options. Also, the team will conduct a legal review of the existing framework laws pertaining to local governance and public administration system in Uzbekistan, and a set of legislative recommendations will be drafted.	
<b>Quality Criteria</b>	<b>Quality Method</b>	<b>Date of Assessment</b>
A program on expert review of framework governance laws, structure, territories and functions of different branches of government at all tiers, is initiated	- Comprehensive and cohesive legal review of the existing governance laws - The findings in the report showcase the inefficiencies in structural and functional distribution of authority and responsibility	November, 2010
Quarterly consultative meetings and round table discussions between national and international experts are conducted to discuss the findings of the expert review	- A package of recommendations for enhancing the structure, functions and relations of the executive and legislative bodies at national, regional and local levels is accepted and owned by the state	March, 2011
At least 7 existing framework laws are reviewed and amended; 3 new laws are proposed for consideration	- The institutional and legal framework in Uzbekistan is strengthened for quality and meaningful governance reforms to take place - The government introduces quality changes into the structure and functional division of its governance system on national, regional and local levels	September, 2013

<b>Activity Result 3 (Atlas Activity ID)</b>	<u>Access to information on activities of government bodies facilitated at all levels</u>	Start Date: October 2010 End Date: December, 2013
<b>Purpose</b>	The activity aims to improve citizen access to information on activities of government bodies, which continue to be mostly isolated from citizens and media. Also, the activity will diversify and expand the types and quality of information available for public access.	
<b>Description</b>	To facilitate greater access to information, the project will establish professionally trained press-service for local governments, to respond to inquiries from media and citizens. The concept will be proposed in a set of legislative recommendations to be included in relevant legislation on the structure of local administrations. Trainings for national, regional and local level press-services will be formulated and conducted. The project will use the extensive experience of UNDP in the area of ICT in Uzbekistan, which has a relevant ongoing project. Through the project, e-document flow between and within local, district and regional administration will be established. A similar initiative will be implemented between a ministry (tentatively, Ministry of Economy) and its territorial subdivisions in the pilot region.	

Quality Criteria	Quality Method	Date of Assessment
The concept of press-services is well understood by local governments, general public and media;	<ul style="list-style-type: none"> <li>- The press-secretaries are institutionalized in the structure of local governments</li> <li>- Press-secretaries have improved skills through a series of trainings</li> </ul>	December, 2011
Through improved professionalism of government press-secretaries, the citizens are provided with quality information in a timely manner, which results in the increase of citizen/media requests for information;	<ul style="list-style-type: none"> <li>- The range, quality and content of information made available</li> <li>- The information is readily available electronically and online</li> <li>- Handbook for press-secretaries of local governments is published</li> </ul>	July, 2012
E-governance is widely introduced in the pilot region, linking varying tiers of governments	<ul style="list-style-type: none"> <li>- An estimate percentage of government business handled electronically and reductions in paper consumption</li> <li>- improved ICT knowledge and infrastructure</li> <li>- communication mechanisms within and between governments, civil society and the private sector</li> </ul>	March, 2013

<b>Activity Result 4 (Atlas Activity ID)</b>	<u>Capacities of local governments to deliver public services enhanced through professional trainings, introducing modern and innovative approaches to rural/urban management.</u>	Start Date: November 2010 End Date: December, 2013
<b>Purpose</b>	The activity aims to enhance the capacity of local governments and civil servants through a series of professional trainings and a professional association, which could at regional and local levels.	
<b>Description</b>	There is a lack of systematic approach to training and capacity development of civil servants at regional and local level. Trainings are conducted based on an ad-hoc and fragmented needs assessment. Based on a comprehensive trainings needs assessment, the project will conduct a series of trainings at regional, district and local level. The project will also explore opportunities for institutionalizing a training and re-training mechanism of civil servants into functioning of local governments.	
Quality Criteria	Quality Method	Date of Assessment
Training needs of civil servants on national, regional and local levels are assessed	<ul style="list-style-type: none"> <li>- Training needs assessment report of national/international experts/agencies;</li> <li>- Priority areas are identified;</li> <li>- a training module, which includes training needs taking into consideration other activities under the given project</li> </ul>	December, 2010
The professionalism of civil servants is increased through trainings, and a continuous training mechanism for low and middle-ranking officials formulated	<ul style="list-style-type: none"> <li>- number of middle and low-ranking government officials trained</li> <li>- quality of training programs</li> <li>- success of the <a href="http://www.training.uz">www.training.uz</a> portal leads to institutionalization of staff training</li> <li>-and its institutional and resource capacity enables the association to deliver training to local governments</li> <li>- the training market is strengthened</li> </ul>	September, 2012
Women are more represented in the civil service and the number of	- Quotas for women in local governments, including the	December, 2013

women holding executive positions has increased	executive positions - Legislative amendments - trainings lead to increased professionalism of low and mid-ranking women-civil servants	
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<b>Activity Result 5 (Atlas Activity ID)</b>	<u>Civil Society Partnership: mechanism of participation of citizens through local self-governance bodies and civil society institutions in the process of local development issues and strategic planning is institutionalized</u>	Start Date: March, 2010 End Date: December, 2013
<b>Purpose</b>	Despite a relatively comprehensive legal framework, contribution of the private sector to local development planning and implementation remains limited. The activity aims to bring the interested stakeholders together to acknowledge the complementary roles they play in local development.	
<b>Description</b>	This activity of the project will organize a regional workshop, where representatives of local governments, civil society discuss and identify how they can cooperate more closely, and identify a mechanism to institutionalize such cooperation. The communication will be strengthened by a series of trainings by national and international experts, for governments, civil society and the private sector on best practices in participatory governance. To enable a more customer friendly environment for providing services for business start-ups, a “one-stop-shop” within local government will be established.	
<b>Quality Criteria</b>	<b>Quality Method</b>	<b>Date of Assessment</b>
Quality dialog of governments with the civil society and the private sector in policy formulation and decision making is launched and produces tangible results	- joint resolutions, declarations, working groups, projects, etc. - permanent dialog facility is proposed and tested - governments, civil society and the private sector better understand the purpose and functions of each other and their role in the society and local development - the number of government officials, members of the civil society and the private sector, who undergo training	January, 2011
Business development is further stimulated by creating a favourable environment	- administrative barriers, hindering business development are assessed and acknowledged by all parties - legislative and institutional changes to streamline business development are proposed and implemented - successful functioning of the online portal on business matters, <a href="http://www.tadbirkor.uz">www.tadbirkor.uz</a> - the increase in the number of businesses	March, 2011

<b>Activity Result 6 (Atlas Activity ID)</b>	<u>Public Private Partnership: Modern and innovative approaches to public service provision and recreational facilities management in the pilot regions showcased</u>	Start Date: July, 2010 End Date: December, 2013
<b>Purpose</b>	The Government is committed to promote PPP, and some relevant legislation has already been introduced. The local governments could further benefit from progressive experience of other developing countries in formulating a more cohesive and comprehensive public-private partnership strategy, particularly in the areas of public service provision, utilities and road construction, environmental protection and others.	
<b>Description</b>	The activity aims to demonstrate modern and innovative approaches to handling	

	public affairs, particularly the public-private partnerships. The project will commission a study to analyze problems and prospects for public-private partnerships to flourish in Uzbekistan. Based on the findings of the report, demonstration partnerships will be established and showcased in the pilot region.	
<b>Quality Criteria</b>	<b>Quality Method</b>	<b>Date of Assessment</b>
Comparative analysis of PPPs generates extensive discussion, leading to a better understanding of the concept of public-private partnerships and wide implementation	<ul style="list-style-type: none"> <li>- the report of national/international experts</li> <li>- national/regional round-table to discuss prospects of PPPs in Uzbekistan</li> <li>- policy briefs/notes, media coverage</li> <li>- national PPP strategy adopted</li> </ul>	July, 2011
Based on findings of the comparative analysis, a comprehensive partnership strategy and mechanism implemented in the pilot region based on the PPP model.	<ul style="list-style-type: none"> <li>- cost effectiveness of the implemented PPP</li> <li>- the quality of services under the proposed PPP as opposed to the existing mechanism</li> <li>- consumer/client/government feedback</li> <li>- wide replication of the PPP experience</li> </ul>	September, 2012

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## VII. 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.

## VIII. ANNEXES

### Annex A: RISK LOG

Project Title: "Enhancing Local Government Management System and Participatory Governance in Uzbekistan"					
#	Description	Type	Impact & Probability	Countermeasures / Management response	Owner
1	Low level of commitment from partners due to insufficient understanding of the envisaged reforms at regional and local levels	Strategic	Impact: May delay project implementation  Probability: Medium  (Activities 1-6)	Continue consultative meetings and dialog through the TWGs, high-level meetings, policy briefs and thematic reports	Project team
2	Weak capacity of the civil society and the private sector may prevent a meaningful dialog from taking place	Strategic	Impact: May delay project implementation  Probability: Medium  (Activities 5-6)	Streamlining the training activities to strengthen the capacities of the target groups	Project team
3	Resource mobilization does not produce sufficient funds to support the government priorities	Strategic	Impact: May hinder project implementation  Probability: Low  (Activities 1-6)	Reduce the scale of activities and focus on strategic activities with long-term benefits	Project team

## **Annex B: TERMS OF REFERENCE**

1. National Project Coordinator
2. Project Manager
3. National Consultant on Legal Issues
4. National Consultant on Capacity Development (trainings)
5. National Consultant on Public and Private Partnership
6. Task Manager in the Namangan region
7. Task Manager in the Djizzak region
8. Project assistant in Namangan region
9. Project Assistant in Djizzak region
10. Administrative and Finance Assistant
11. Project Specialist on PR issues
12. Project Specialist on e-governance
13. Driver