

United Nations Development Programme

Country: **Uzbekistan**

Project Document

Project Title: CPAP Implementation Support Project

UNDAF Outcome 1: Economic well-being of vulnerable groups is improved (residents of economically under-developed, mainly rural areas; women, particularly home-based workers; labour migrants and their families; children, particularly most-at-risk adolescents; the elderly; HIV-positive people; and people with disabilities).

Expected CP Outcome 1.1: Capacity of the central and local authorities enhanced to develop and implement economic and social security policies aimed at welfare improvement of vulnerable groups

Expected CP Output 1.1.1: Strengthened government capacity at national and local levels to improve macroeconomic forecasting, innovation, and to collect, analyze and report data in line with the Millennium Development Goals and other international standards.

Implementing Partner: UNDP

Responsible Parties: UNDP

Brief Description

Given the successful partnership with the Government, UNDP further needs to support the Government of Uzbekistan and provide efficient and effective policy advice and implementation support services within a new programming cycle. For this there is a clear need to have a directly implemented project within the Country Office to support the efficient implementation of the CPAP 2010-2015 and ensure successful delivery of outcomes. UNDP assistance will offer a continuum of strategic programmatic support in the same substantive areas as its predecessor country programme (2005-09), namely: i) economic governance and poverty reduction; ii) environment and energy, and; iii) democratic governance.

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Anita Nirody, Resident Representative

Date: **07 MAY 2010**

I. SITUATION ANALYSIS

In 2010, UNDP has entered into the new programming cycle and signed a new Country Programme Action Plan 2010-2015 (CPAP) with the Government.

The previous CPAP 2005-2009 focused on three programmatic objectives in support of the Government: i) economic development and poverty reduction; ii) promotion of reforms in the area of democratic governance and iii) environment and energy issues. Engaging, strengthening and fostering the participation of civil society in development processes at national and local levels featured as an overarching theme.

The level and consistency of UNDP support to policy advice at the national level has been acknowledged. UNDP has been credited by the Government of Uzbekistan for playing a key role in providing technical assistance in the formulation of the MDG-based Welfare Improvement Strategy. The Government endorsed its national strategy in August 2007 as its overarching development document for 2008-2010. UNDP supported the consultation process which brought together all of Uzbekistan's major development partners, both national and international, within a well-defined cooperation framework. Together with other UN agencies, UNDP assisted the Government in adapting the MDGs to Uzbekistan's national context, resulting in a set of national goals, targets and time-bound indicators.

Within the past programming cycle (2005-2009), there was a similar project "Enabling environment for PRSP" which supported the implementation of the Country Programme Action Plan as well as UNDP's support to the Government on the PRSP implementation. The evaluation mission by the international expert has been carried out for this project in November-December 2009. The findings of the project evaluation have shown that the UNDP Country Office capacity in order to effectively support the Government has been largely relevant to the country. The need for a project that would help flexibly address capacity gaps in the ongoing implementation of the country programme was particularly acute during the last country programme during which UNDP had to shoulder a greater responsibility in the donor community as a result of others scaling back their activities. Operating in a fast changing environment, it is almost impossible to predict each and every capacity gap that might emerge in the country office and a project that could address such gaps in terms of staff and staff development seemed to be particularly useful.

The findings of the evaluation also proved that such a project does seem to play an important role in ensuring the county office has sufficient capacity to effectively support the Government of Uzbekistan in achieving its development goals and something similar should be in place for the new country programme.

Therefore, given the successful partnership with the Government, UNDP further needs to support the Government of Uzbekistan and provide efficient and effective policy advice and implementation support services within a new programming cycle. For this there is a clear need to have a directly implemented project within the Country Office to support the efficient implementation of the CPAP 2010-2015 and ensure successful delivery of outcomes.

II. STRATEGY

Aligned and integrated within the framework of the overall United Nations Development Assistance Framework to Uzbekistan (UNDAF 2010 – 2015), UNDP assistance will offer a continuum of strategic programmatic support in the same substantive areas as its predecessor country programme (2005-09), namely: i) economic governance and poverty reduction; ii) environment and energy, and; iii) democratic governance. In each of these three component areas the main thrust of UNDPs endeavors will be aimed at building further on its core programmatic and comparative strengths for the advantage of the Government of Uzbekistan and its citizens. Reflecting on the principle challenges confronting the nation, on the analysis and priorities contained in both the Welfare Improvement Strategy and the UNDAF, and on the interventions proposed within this new

CPAP, UNDP believes that it is entering a deeper, more compelling and vitalized partnership with the Government of Uzbekistan and its principle stakeholders.

UNDP remains committed to the highest ethical standards concerning transparency and accountability of decision-making and resource allocation. This will be demonstrated at all stages of project formulation, management, project and programme governance meetings, reporting, monitoring and evaluation.

The project will focus on support to the following issues to contribute to efficient implementation of the CPAP.

Activity Result 1: Quality assurance, high quality analysis, M&E mechanisms are in place to better address programme and project interventions

Based on the lessons learned and various evaluations carried out, the CO through this project will be working on designing the Monitoring and Evaluation mechanisms and plans to ensure smooth implementation of the CPAP 2010-2015 aligned with UNDAF and national priorities and goals.

The project will also ensure capacity for CPAP delivery and future planning, e.g. the project will be focused on supporting the partnership between UNDP and the Government of Uzbekistan. Under this component, the project will be explicitly about monitoring CPAP progress and also having resources on hand to address UNDP Country Office capacity gaps. This would mean that individual projects would not have to be charged for these overhead type expenses, but it could come from a dedicated project, managed by the DRR. Thus, the project will also ensure that there is a CPAP Monitoring and Evaluation Plan, which will be aligned with UNDAF monitoring plan and will be used as a platform for UNDP programme interventions, which will fill required gaps.

This project will also fund programme and support experts to provide expertise, mainstream UNDP corporate policies and strategies as well as support to project management. For example, providing ongoing support for WIS implementation and future planning. With the closure of the support for WIS formulation project in 2008, and the current WIS expiring at the end of 2010, there might be support for the process of development planning. This would entail supporting in house Country Office expertise to provide analysis on key areas such as the costing, mainstreaming environment, gender and other cross cutting issues, and so the project will be supporting positions that provide such analysis, learning to ensure all staff are up to date on the issues, and outreach and communications to highlight UNDP support for the process.

Activity result 2: Public relations and outreach around role of UNDP and its development efforts is in place and UNDP partnership strategy is enhanced.

UNDP's strategy in Uzbekistan seeks to fully engage its partners for the successful implementation of the CPAP. The prioritization of development issues in this CPAP is based on the UNDAF and CPD which involved a substantial level of strategic and technical consultations with the Government of Uzbekistan, as well as with other partners. The partnership with the host Government is particularly important for the success of the CPAP. Through this project, UNDP will continue the excellent collaboration that has come to characterize its relations with all levels of the Government of Uzbekistan by funding partnership building activities and resource mobilization related events.

Within the United Nations system UNDP will seek to consolidate its joint programming work with other UN agencies on initiatives targeting MDG attainment. UNDP also seeks to continue very strong partnerships with the World Bank, the Asian Development Bank, the International Finance Corporation (IFC), the European Commission, Gesellschaft für Technische Zusammenarbeit (GTZ) and the Global Fund for AIDS, Tuberculosis and Malaria (GFATM). UNDP hopes to deepen project associations with international donors who share mutual development co-operation interests, such as JICA, KOICA, TIKA, MASHAV and the Embassy of Switzerland, along with other Embassies, agencies and partners. In achieving the UNDAF outcomes for the programme period

UNDP will seek financial and technical contributions from its partners. Additional financing will be also sought through global and regional programmes, as well as with various thematic trust funds and other funding windows. Therefore, this project will be helping the CO to enhance its internal capacity to mobilize partnerships and manage resources.

Overall, through this project, UNDP will increase its visibility to outside partners and further promote the MDGs, by undertaking various awareness campaigns and publishing policy and promotional materials.

Activity result 3: Knowledge management and Capacity development mechanisms are enhanced.

Through this project, UNDP will seek to more deeply embed knowledge generation and systematic approaches to capacity building through the application of tried and tested toolkits. UNDP will adopt a more deliberate approach to ensure that individual and organizational learning takes place at all stages within and across its programmes. More poignantly still, partner institutions shall play an increasingly prominent role in participatory monitoring and evaluation exercises that make greater use of full stakeholder consultation processes, through which learning is generated and harnessed to inform future activities. To complement this new approach to learning, and as per the ADR (Assessment of Development Results¹) recommendation, UNDP will increasingly apply the implementation its corporate capacity development toolkit into the operating context in Uzbekistan. This will enable a stronger framework of diagnostics, design, implementation, measurement and accountability to be applied to the critically important work of capacity building.

Through this project UNDP will also conduct internal strengthening of its programme and project personnel to support the application of the Result-Based Management (RBM) methods and tools and establish information sharing and best-practice exchange internally and through the ongoing close engagement of UNDPs regional centre based in Bratislava, and through various channels including 'south-south' and learning emanating from the Central Asian region. The principles of knowledge management and capacity development are universally capable of being applied to the whole of UNDPs programme.

Thus, this support targeted on CO learning activities will also ensure that the UNDP country office is up to date in its skills and knowledge and that knowledge is effectively shared and communicated to national partners.

UNDP will also continue addressing cross-cutting issues through this project as through all other projects and programmes. In respect to gender, the project will seek to mainstream gender equality and the advancement of women through its activities.

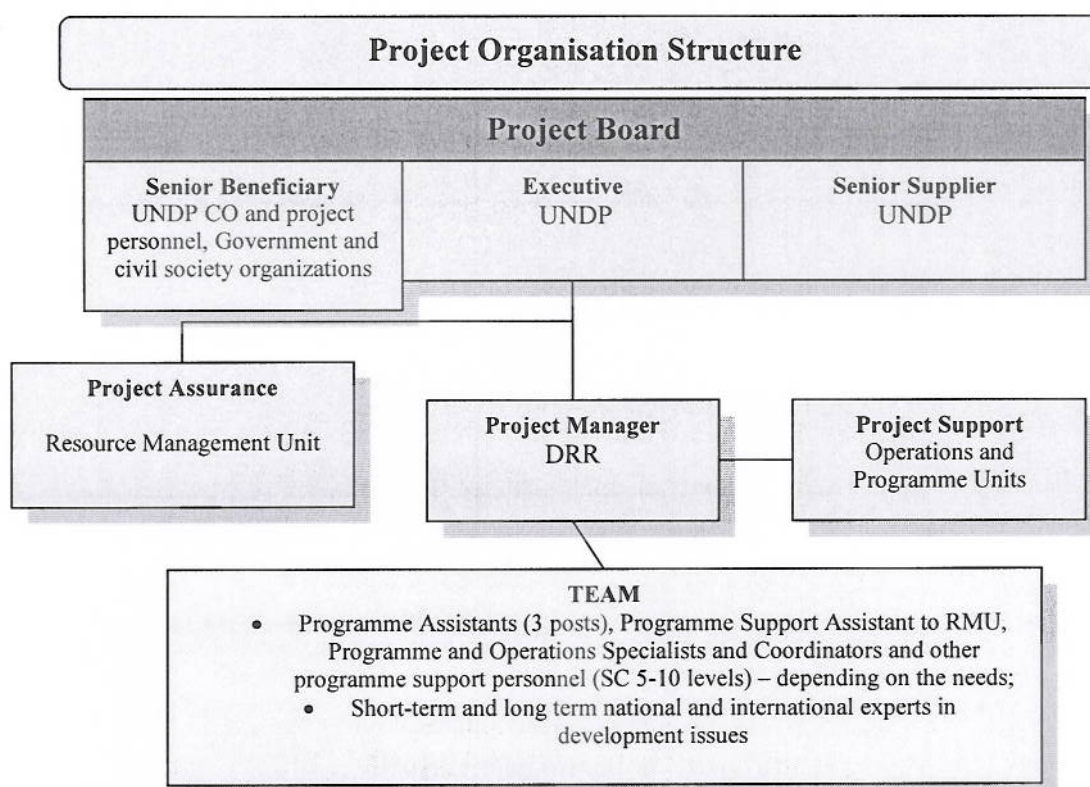
¹ ADR is an independent evaluation conducted by the Evaluation Office of the UNDP in 2008-2009. The evaluation was assessing the relevant and strategic positioning of UNDP support and contribution to Uzbekistan's development between 2000 and mid-2008.

III. RESULTS AND RESOURCES FRAMEWORK

Intended Outcome as stated in the Country Programme Results and Resource Framework: <i>Outcome 1. Capacity of the central and local authorities enhanced to develop and implement economic and social security policies aimed at welfare improvement of vulnerable groups.</i>				
Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets: <i>1.1. Number and quality of government policies and programmes promoting inclusive growth in line with MDGs.</i> <i>Baseline: Welfare Improvement strategy exists. Target: At least three development policy documents promoting inclusive growth in line with MDGs.</i>				
Applicable Key Result Area (from 2008-11 Strategic Plan):				
Partnership Strategy: UNDP is Executive. UNDP will partner with all agencies/organizations mentioned in the CPAP 2010-2015.				
Project title and ID (ATLAS Award ID):				
INTENDED OUTPUT(S)	OUTPUT TARGETS FOR YEARS	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
Output 1: UNDP is maintained as a knowledge hub to further develop Government capacity at national and local levels to better implement projects and ensure successful implementation of the CPAP 2010-2015. Indicator 1: # of M&E activities carried out at the project and outcome level. Indicator 2: # of new partnerships established Indicator 3: # of raising awareness/visibility events/activities carried out Indicator 4: # of government	Targets (to be set each year accordingly): 1. CPAP Annual review and Outcome evaluation carried out; 2. At least 2 new partnerships built each year; 3. At least 2 visibility events carried out each year; 4. At least 2 government agencies benefit each year; 5. At least 2 policy papers drafted;	Activity result 1. Quality assurance, high quality analysis, M&E mechanisms are in place to better address programme and project interventions: - conduct evaluations and assessments; - carry out CPAP annual review/outcome evaluations - provide analysis for the MDGs and conduct more advocacy events - recruit/fund positions in environment and energy programme, gender related (for UNDP to lead the donor community as well as mainstream gender concept across all government policy); - fund programme and support experts to provide expertise and support to project management; Activity result 2: Public relations and outreach around role of UNDP and its development efforts is in place and UNDP partnership strategy is enhanced; - publish promotional/advocacy materials on various themes of MDGs; - develop informational products;	All partners mentioned in the CPAP, and under leadership of the DRR: 1) All programme Units of UNDP CO, RMU 2) Communications Associate	Activity 1: \$250,000 Activity 2: \$50,000 Activity 3: \$200,000 Total for output = \$500,000

<p>agencies that have a strong capacity development strategy</p> <p>Indicator 5: Level of progress made by the Government in drafting new policies;</p>		<ul style="list-style-type: none"> - draft policy briefs and distribute among partners/decision-makers; - implement Communications workplans to support programme and project implementation; <p>Activity result 3: Knowledge management and Capacity development mechanisms are enhanced.</p> <ul style="list-style-type: none"> - RBM training enforced; - conduct study visits on various themes to enable better knowledge management and enhance capacity of the government agencies and UNDP personnel; - Learning plans and activities to enhance knowledge on development issues are elaborated and implemented; - establish knowledge-sharing culture; 	<p style="text-align: center;">Learning Manager</p>	
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IV. MANAGEMENT ARRANGEMENTS



UNDP will be using *direct implementation modality* (DIM) in implementing this project (*DIM Authorization attached*).

While implementing this DIM project, the CO will recover implementation support costs as follows:

Direct UNDP Country office Support Services to the Programme Implementation

Since UNDP is an Implementing Agency of the project, it will be providing the direct support services for this DIM project activities:

- (a) Identification and/or recruitment and solution of administrative issues related to the project personnel;
- (b) Procurement of commodities, labor 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.

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.

The procurement of goods and services and the recruitment of project personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures.

The 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.

UNDP shall retain overall responsibility for this directly managed project.

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.

Terms of Reference of the personnel recruited within the project cycle will be agreed upon and finalized as per the need arises and included as an attachment to this project document.

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 agreed, 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. LEGAL CONTEXT

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

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

The executing agency shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) assume all risks and liabilities related to the executing agency's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The executing agency agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

VII. ATTACHMENTS

- **TOR of personnel, accumulated during the project cycle.**
- **DIM Authorization**
- **Evaluation report of the similar project, used as a baseline**
- **Risk Analysis**