

United Nations Development Programme

Country: UZBEKISTAN

Project Document

Project Title: Green Climate Fund (GCF) Readiness Programme in Uzbekistan

UNDAF Outcome(s): By 2020, rural population benefit from sustainable management of natural resources and resilience to disasters and climate change

Expected CP Outcome(s): By 2020, rural population benefit from sustainable management of natural resources and resilience to disasters and climate change

Expected Output(s): Appropriate policy/regulations/financial products (green mortgage) are in place to enable scaling-up of construction of low-carbon housing/settlements

Implementing Partner: Centre of Hydrometeorological Services under the Cabinet of Ministers of the Republic of Uzbekistan

Responsible Parties: United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP), Ministry of Economy, Ministry of Finance, State Committee for Nature Protection, Ministry of Agriculture and Water Resources, Fund for Reconstruction and Development of Uzbekistan, national banks, central and regional municipal authorities

Brief Description

The objective of the Green Climate Fund (GCF) Readiness Programme is to support the Government of Uzbekistan in strengthening their national capacities to effectively and efficiently plan for, access, manage, deploy and monitor climate financing in particular through the GCF. These activities will be planned and implemented in line with national policies and priorities. The Programme will target two important aspects of the GCF approach, access to funds and private sector engagement, both of which will require significant preparatory work before GCF financing will be possible at scale. The GCF Readiness Programme will focus on a range of preparatory activities to: a) build and strengthen the institutional capacity of national entities in Uzbekistan, with a focus on enabling direct access; and to b) help Uzbekistan to prepare climate change mitigation and adaptation investment strategies, programmes and projects, including through the active involvement of the private and financial sectors.

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Total resources required:	\$1,589,458
Total allocated resources:	
• BMUB	\$1,589,458
○ Under UNDP management:	\$1,372,458
○ Under UNEP management :	\$217,000
• Other: n/a	
• In-kind contributions: office space (Uzhydromet)	

Agreed by (Government):

Centre of Hydro-meteorological Services under the Cabinet of Ministers of the Republic of Uzbekistan

Mr. Viktor Chub, General Director

[Handwritten signature]

NAME _____ SIGNATURE _____ DATE _____

Agreed by UNDP:

Mr. Stefan Priesner, Resident Representative

[Handwritten signature]

22 JUN 2016

NAME _____ SIGNATURE _____ DATE _____

List of Abbreviations and Acronyms

ADB	Asian Development Bank
AF	Adaptation Fund
BMUB	Federal Ministry of Environment, Nature Conservation, Building and Nuclear Safety
CBD	Convention on Biological Diversity
CDM	Carbon Development Mechanism
CERs	Certified Emission Reductions
CPD	Country Programme Document
CoM	Cabinet of Ministers
DNA	Designated National Authority
GIZ	German International Cooperation agency
IFC	International Finance Corporation
INDC	Intended Nationally-Determined Contributions
IMCCDM	Inter-ministerial Council on the CDM
IRH	UNDP Regional Hub in Istanbul
LEDS	Low-Emission Development Strategy
LFIs	Local Financial Institutions
MAWR	Ministry of Agriculture and Water Resources
MoE	Ministry of Economy
MoF	Ministry of Finance
M&E	Monitoring and Evaluation
NAMA	Nationally Appropriate Mitigation Action
NAP	National Adaptation Plan
NGO	Non-Government Organization
NIE	National Implementing Entity
NIM	National Implementation Modality
NPC	National Project Coordinator
NSSD	National Strategy on Sustainable Development
ODA	Ordinary Development Assistance
PM	Project Manager
PIP	Public Investment Programme
POPP	UNDP Programme and Operations Policies and Procedures
SCNP	State Committee for Nature Protection
SEPP	State Environmental Protection Programme
TOR	Terms of Reference
UFRD	Uzbekistan's Fund for Reconstruction and Development
UNCCD	United Nations Convention to Combat Desertification
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNDP CO	UNDP Country Office
UNEP	United Nations Environmental Programme
UNFCCC	United Nations Framework Convention on Climate Change
WB	World Bank
WRI	World Resources Institute

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I. SITUATION ANALYSIS

1.1 The Climate Change-Induced Problem

Central Asia as a whole is recognized as one of the world's most vulnerable regions to the impacts of long-term climate change and current climate variability. Within the past decades, more and more climate related adverse events have triggered shortages in water for hydropower and irrigation, threats to food security due to crop failures. Since 1951, there has been an observed trend of warming within Uzbekistan; the annual average temperature has increased by 0.29 °C for each 10 years, which implies higher vulnerability to the effects of climate change than some other countries, as warming is taking place at double the average pace for the world.¹ At the same time, climate change hazards are not well understood, as climate related extreme events and their impacts are very diverse. A gradual increase in the intensity and frequency of events such as droughts, floods, mudflows and others is already becoming statistically significant. Many of these represent significant risks to key drivers of the economy, threaten to reverse recent gains in human welfare, lead to further degradation of the environment with long term and complicated consequences, and the possible deprivation of people of housing, water and food supplies, exposure to greater levels of pollution, health problems, or to loss of jobs.

The financial needs for Uzbekistan to be able to effectively mitigate and adapt to climate change are still substantial. Further, in spite of the ongoing experience in developing and managing projects, there are still institutional capacity gaps to ensure that the Government of Uzbekistan can systematically access, sequence, manage, and monitor climate finance. The proposed project aims to address these capacity gaps.

With new challenges and a new international climate agreement ahead, there is an opportunity to shift the country's focus from technical and procedural support to the development of an in-depth strategy and architecture on climate change finance as well as establishing a robust framework for climate finance.

1.2 Climate Vulnerabilities & Opportunities

Uzbekistan is located in mostly arid climatic zone. As the country's economy is developing in a diverse way, with the tendency to increase the share of industrial production and services, main impacts from the changing climatic and weather conditions are expected on the country's irrigated agriculture. In addition to increasing deficit of the water from rivers and lakes, Uzbekistan is experiencing the problem with desertification, further aggravated by the desiccations of the Aral Sea through the past decades. Increase in number and intensity of extreme weather events pose an additional threat both for the economy of Uzbekistan and to the social welfare. The main threats from climate change fall in the following sectors:

- Water and water supply
- Agriculture & food security
- Health and safe environment
- Natural disasters
- Energy
- Tourism

Given the relative representation of energy-intensive sectors in the economy, there is ample potential in Uzbekistan to mitigate current levels of GHG emissions. Losses due to low efficiency in current energy production, transportation, transmission and distribution result in high levels of fuel cost per unit and GHG emissions. Already the Government is committed to the reconstruction and modernization of existing energy production facilities, the introduction of new technologies, and more effective fuel utilization. The

¹ The Second National Communication of the Republic of Uzbekistan to the UNFCCC, Tashkent, 2008, p.205

overall energy saving capacity in Uzbekistan is estimated to be quite high; realization of which will enable the reduction of GHG emissions more than by some 40 million t CO₂e annually.

There are a number of economic sectors that are ripe for mitigation measures, including:

- Electricity generation
- Natural gas extraction
- Oil extraction
- Coal mining
- Building and housing stock
- Chemical industry
- Agriculture
- Transportation

1.3 Policy and Institutional Context

Uzbekistan is consistent in its efforts to improve national policies and plans on climate change. Many of the laws and policies related to climate change stem from broad regulations on air quality, water use, and extractives. The closest document the country has for this purpose is the **State Environmental Protection Programme (SEPP)** of the Republic of Uzbekistan. The SEPP has been developed by the State Committee for Nature Protection (SCNP) and approved by the Cabinet of Ministers and is reconsidered and updated every five years. The latest revision of the document as of 2013 covers the five-year period of 2013-2017². The programme recognizes climate change as one of the major environmental problems and calls for commencing regional and international cooperation to address it. The SEPP identifies the development of the Third National Communication (expected to be delivered by mid-2016) as the major task with regard to climate change activities until 2017.

The **Presidential Decree on further development of alternative sources of energy** (#4512 dated on 1 March 2013) provides a solid legal basis for the development of infrastructure for the generation of solar and other alternative energy, including energy from wind and biogas on the industrial level. It also provides incentives to involve international climate financing into developing state co-financing mechanism towards limiting or reducing greenhouse gas emissions.

The draft **Programme for Reducing Energy Intensity and Introduction of Energy Saving Technologies** for the period of 2015-2019 constitutes another piece of the country's climate strategy. The document envisages further implementation of updated energy efficient technologies. The progress is to be measured with regard to efficiency benchmarks and verified by energy audits in accordance with international standards and includes tax preferences for RE producers.

Beyond the scope of laws or policies, there are documents at the strategy level to guide climate finance decisions. The **National Strategy on Sustainable Development (NSSD)** is the key strategic document and addresses the implementation of sustainable development principles in the country. The NSSD aims to promote sustainable development resource management, agriculture and increase overall human well-being, and include adaptation and mitigation to climate change. The strategic directions of climate change mitigation are determined by key provisions of the **National Strategy on Greenhouse Gas Emissions Reduction (2000)**. Mitigation policies are pursued through market based instruments (tariffs) and the

² Decree by the Cabinet of Ministers of Uzbekistan "On the nature protection programme of the Republic of Uzbekistan for 2013-2017", #142 of 27 May 2013.

implementation of various national, sectoral and regional programs and projects. With the support of UNDP, Uzbekistan is currently formulating **Low-Emission Development Strategy (LEDS)**. The Ministry of Economy is the key agency responsible for LEDS governance and arrangements and it builds on the CDM successes.

While it is not a compulsory aspect of readiness to have these overarching national laws and policies, including sectoral plans and strategies, the GCF itself has indicated that investment decisions in the future will take into account how well-aligned any given proposal is to the national context in which it is proposed. For that reason, ensuring the enabling policy environment is robust and offers anchors to which GCF proposals can be linked is crucial, whatever the name of the national document may be. The new LEDS, as well as the annual **Public Investment Plan**, are also eligible documents. These documents should include references to the LEDS. Uzbekistan may further consider developing a **National Adaptation Plan (NAP)**. Given international best practices, ensuring that these documents are coordinated at a high level and incorporated into a comprehensive strategy on climate change is one way to ensure consistency and present to the GCF and other funders of adaptation and mitigation project.

Uzbekistan has enjoyed great success in implementing climate change adaptation and mitigation projects, including CDM projects. This success has included the design of processes intended to improve the coordination of climate change projects and proposals.

In order to fully exploit the benefits of the CDM process, Uzbekistan created an **Inter-ministerial Council on the CDM (IMCCDM)** under the **Cabinet of Ministers** to ensure a robust process to approve CDM projects and to assist the CDM Designated National Authority (DNA) in the review process. The members of the Inter-ministerial Council are 21 representatives of various government ministries and agencies, including the Ministries of Economy, Finance, Agriculture and Water Resources, and State Committee for the Protection of Nature. This body is the most significant inter-ministerial entity with a mandate to plan and channel climate finance, even if only for mitigation projects, via the CDM process.

As the GEF operational focal point and DNA under the Adaptation Fund, **Uzhydromet** currently also fulfills duties as the GCF Focal Point. As a key technical body on climate change, Uzhydromet is a critical implementing partner for a number of internationally financed projects that are jointly implemented with multilateral agencies like UNDP, UNEP, WB, ADB, and GIZ. Uzhydromet, as the UNFCCC focal point, coordinates the National Communications and other reports for submission to the COP. It also provides expertise in environmental issue areas, including climate change adaptation in priority sectors. With responsibility for the technical overview of the climate change situation in Uzbekistan, Uzhydromet could play a long-term role under the GCF with support on issues of climate finance from the Ministries of Economy and Finance, as these entities specialize in the coordination of public and private finance from domestic and international sources.

Much of the national expertise in climate mitigation is housed in the **Ministry of Economy (MoE)** which plays the role of DNA for the CDM in Uzbekistan. As such, the MoE approves CDM projects for submission for registration, which entails a process of validating the project as aligning with the national sustainable development goals. Given Uzbekistan's vulnerability to climate shocks in the water, agriculture and sustainable land management sectors, the mitigation expertise gained by the MoE as the CDM DNA means that outside technical support would be necessary for the full appraisal of adaptation projects. The MoE also ensures integration with the global economy, develops national and sectoral programmes, and audits international technical assistance programmes.

There are other critical national bodies in the planning and policymaking sphere which impact climate finance with Uzbekistan. The **Ministry of Finance (MoF)** crucial tax policies as well as regulation of some prices in the energy and water sectors. Critically, the MoF develops the state budget, mobilizes resources for implementation, and plays a role in regional development and, along with MoE, plays a role in regional development. As important budgeting, planning, and economic development entities, both MoF and MoE are significant players at the national level regarding climate finance.

The **State Committee for Nature Protection (SCNP)** develops and implements the unified nature protection and natural resources saving policy, state control over environment protection, comprehensive inter-agency management of nature protecting activities through wider and primarily application of the corresponding economic approaches and use of natural resources, promoting the nationwide introduction of resources saving, recycling and/or waste-free technologies as well as advanced R&D. It also is responsible for safe and clean environment and its improvements. Through its national and local environmental protection funds, SCNP funds environment conservation activities (programmes) aimed at reducing of environment polluting through inter alia introduction of environment friendly, clean and resources saving technologies, and restoration of natural sites destroyed by economic activities. The Committee is the government body responsible for ensuring coordination of fulfillment Uzbekistan's obligations undertaken under international, multilateral and bilateral, environment conservation treaties.

Finally, the other important technical body on climate-related matters is the **Ministry of Agriculture and Water Resources (MAWR)**, an important body for a country, which is a major global exporter of cotton, located in a semi-arid landscape. Agriculture sector is significantly dependent on climate conditions, however, institutional capacities of agricultural producers are limited to undertake measures to withstand the climate risks and extreme weather events, and this threatens further sustainable development of agriculture and food security in the country. However, applying a proactive approach aimed at capturing use of potential opportunities and minimizing climate change related risks through adaptation measures would allow agriculture and corresponding income sources for rural population being more flexible, competitive and resilient to climate change. The Ministry is a key national agency that is implementing economic reforming in agriculture sector and modernization of agriculture production patterns, including through attracting climate financing and implementing corresponding investment projects. It also one of the key members of the IMCCDM.

1.4 Private Sector

The economy of Uzbekistan is currently focused on extractive industries, primarily natural gas and to a lesser extent oil. Natural resources and closely related products, including gas, cotton and agricultural products account for around 53% of Uzbekistan's total exports in 2013³. With Uzbekistan planning further diversification of the private sector, it is crucial to consider that the sectors with fairly mature private participation are also subject to the impacts of climate change (agriculture) or are rather carbon-intensive (energy).

For Uzbekistan, the share of small businesses and private entrepreneurship, as a percentage of GDP, has steadily grown from 31% (2000) to 55.8% (2013), while its share in employment increased from 49.7% (2000) to 76% (2013)⁴. Support for easing regulations on opening businesses, and for lowering costs on small businesses have resulted in larger share of new businesses. The World Bank's *Ease of Doing Business Report 2015* ranked Uzbekistan 87th, which is major improvement from 146th in 2014. A number of improvements, including abolishing the minimum capital requirement for businesses and streamlining the other bureaucratic procedures, the country ranked 42nd in the 'Starting a business' category. A number of factors could contribute to further improving Uzbekistan's rating within the region of Eastern Europe and Central Asia, and significant improvement is needed, especially in the area of trading beyond national borders. This sector will receive continuing support from a number of development partners including UNDP, IFC, the World Bank and the Chamber of Commerce in the project "Business Forum of Uzbekistan".⁵

³ National Report on MDGs, CER, 2015 (p. 93) at http://uzbekistan.de/sites/default/files/dok/info-mdg_ru_13_04.pdf

⁴ State Statistics Committee data (<http://www.stat.uz/uz/economy/>) and UNDP project document "Business Forum of Uzbekistan (Phase III)", http://www.uz.undp.org/content/uzbekistan/en/home/operations/projects/poverty_reduction/business-forum-of-Uzbekistan1.html

⁵ UNDP Project Document "Business Forum of Uzbekistan (Phase III)", http://www.uz.undp.org/content/uzbekistan/en/home/operations/projects/poverty_reduction/business-forum-of-Uzbekistan1.html

To empower private businesses to supply climate change technology and investment, Uzbekistan must continue its recent success in fostering small business development. Private sector involvement can be a powerful driving force behind climate change mitigation. Private actors can foster innovation and low-emission technologies. Participation of the private sectors is the key for achieving the goal of such instruments like the CDM or carbon taxes, if decided to be utilized in future by Uzbekistan. Private sector engagement will be a strong focus in the investment framework of the Green Climate Fund, both for the ability of public funds to leverage private finance, but also for the formulation of Public-Private Partnerships to implement mitigation and adaptation projects.

1.5 Financial Sector

Uzbekistan has a large number of state-owned and commercial banks that expressed willingness during the scoping mission to become more active in lending for climate finance. There are also quite a few private banks in Uzbekistan with the capacity or potential to finance for low-carbon and climate-resilient development.

In terms of prior experience in managing state funds for environmental or development purposes in Uzbekistan, the Republican and Sub-National Environmental Protection Funds are ones of the most significant actors in the area. They are the particular state-running funds targeted at financing the territorial and cross-sectoral activities on nature protection that are aimed, inter alia, at reduction of harmful substances into the atmospheric air, and ensuring clean environment for population wellbeing. Currently, based on the government resolutions, reforming and improving those funds operation have been initiated to mobilize all relevant funding sources for implementation of environment conservation activities as well as increase their effectiveness, efficiency and transparency to meet the international standards. This provides sound preconditions for their ability to play GCF-specific roles such as that of an NIE. While there may be legal or operational questions, these funds and the Fund for Reconstruction and Development of Uzbekistan have a long history of organizing the necessary financial structures to undertake both environmental and climate relevant projects as well as those projects advancing the national development priorities. Moreover, both state-run and commercial banks are familiar and comfortable with their modality of operation.

In 2014, Uzbek commercial banks provided small business and private entrepreneurs with credits or loans worth over 9 trillion sums, or 1.3 times more than in 2013, including micro-crediting of 2 trillion sums (with 39% growth). During the last five years, the amount of crediting for small business has been increased year on year. The top priority for 2015 and beyond is eliminating all barriers and restrictions, liberalizing private property rules and private entrepreneurship. This is crucial for sustainable economic growth and national development trends as well as increasing living standards and economic livelihoods of the population.

For now, the involvement of the financial sector in Uzbekistan in the GCF may be a more medium-to-long term capacity building question. However, with the willingness of private and public banks to play a role, their partnerships with developers and ability to channel finance should not be overlooked. Even if they are not targeted as a recipient of readiness support, they could play an important role in offering advice to national bodies on investment frameworks for climate finance.

1.6 Climate Change Project Development

Uzbekistan is an advanced country in terms of number and volumes of the hosted CDM projects compared to other countries in the region. Since 2007, twenty-seven CDM projects have reached validation stage, and fifteen were registered. More than 10 million CERs have been issued by the CDM Board with total value of 24.4 million USD as of the issuance date.

In addition to CDM projects, Uzbekistan has some experience with the new market mechanisms under UNFCCC. As of early 2015, two **NAMA** proposals were developed with support from UNDP Uzbekistan.

Both proposals are focused on the demand side energy efficiency, namely efficient lighting and increasing energy efficiency in buildings. No NAMA in Uzbekistan has received donor support yet.

Recently, in partnership with UNDP, Uzbekistan successfully submitted a project under the **Adaptation Fund (AF)** for “Developing climate resilience of farming communities in the drought prone parts of Uzbekistan” recently approved by the AF Board to receive financing. Such a project and the process that went into designing and submitting it for funding will be instructive as the GCF will look for projects that are sector-wide, deliver co-benefits (community-level economic development), and address national priorities (adaption in the agriculture sector).

1.7 Information Management

In terms of monitoring climate impacts and vulnerabilities, current legislation includes regulation on development and periodic update of the **National Inventory of GHG Emissions** from sources and absorption by sinks. Laws on the books contain direct instructions for providing State account for “kinds and quantity of polluting substances, biological organisms, GHGs and ozone destroying substances emitted into atmospheric air”. A system to monitor GHG emission reduction exists with functions of realizing obligations under UNFCCC through Uzhydromet as the UNFCCC focal point and primary author of the **National Communications**.

Less well understood in Uzbekistan are areas of particular climate vulnerability. Although Uzhydromet maintains a number of stations for the monitoring of rainfall and other data, the lack of a comprehensive **national adaptation policy or strategy** or a national climate change policy document means that a strategic framework assessing and prioritizing adaptation interventions is also lacking, such as **vulnerability assessments**. There are several environmental policies and programs that cover a range of adaptation activities in sectors such as water resources and agriculture, health, ecosystems, and others. Nevertheless, these policies and programs are fairly uncoordinated and fragmented, preventing their effective implementation.

For the **monitoring and evaluation** for results of project implementation, Uzbekistan could do well to improve systems and policies around project selection, costing, implementation effectiveness, and execution. Due in part to utilizing donor or multilateral agencies systems for many of these processes, Uzbekistan could focus readiness support on developing these systems, as well as **fiduciary capacities and environment and social safeguards** at international standards. This would not be a requirement for indirect access to GCF finance, but if Uzbekistan wishes to accredit a national entity for direct access, these are essential capacities to demonstrate to GCF.

1.8 Long-term Solution and Barriers to Achieving the Solution

In the context of the emerging architecture on climate finance, the preferred solution is that the Government of Uzbekistan is able to effectively secure, on its own terms and using domestic skills and capacities, climate finance that is aligned with national priorities to address urgent mitigation and adaptation needs.

Barrier: Lack of enabling policy environment. Without a centralised national climate policy, may arise a lack of coordination among ministries, civil society and other stakeholders and put in place the necessary systems to manage finance in an effective manner. However, guidelines have yet to be completed and rolled out. Without sufficient capacity for coordination, an important opportunity to streamline action on climate change would be missed.

Barrier: Lack of proper fiduciary standards. Fiduciary standards required under the Green Climate Fund (GCF) have been finalized. GCF has identified best-practice fiduciary principles and standards and environmental and social safeguards from existing funds, which is expected to form a basis for the GCF fiduciary requirements.

Barrier: Ineffective institutional arrangements. Uzbekistan has no formal inter-ministerial climate change committee to delegate respective roles and responsibilities of various actors (ministries,

departments, units, committees, etc.) within the government, vis-à-vis a range of existing climate change finance sources.

Barrier: Lack of private sector involvement in climate finance in Uzbekistan. The private sector could play a significant role in addressing climate change in Uzbekistan. Given the private sector's role in key economic areas, engagement on climate issues will be important. While little is known about the sector's level of investment and financial flows toward climate change projects, their significant role in the tourism and energy sectors means that they are an actor that ought to be engaged on climate finance issues. Often private sector engagement in climate projects is voluntary, and ad hoc, based on marketing or cost-cutting measures.

II. PROJECT STRATEGY

2.1 Project Rationale, Objective, Output and Activities

The objective of the project is to develop the capacity of stakeholders in Uzbekistan to plan for, access, manage, and monitor climate change finance at the national and subnational levels.

Key design principles and strategic considerations of the project include the following:

1. **Strong Country Ownership and Drive:** The project will contribute to addressing gaps in Uzbekistan's readiness for the Green Climate Fund as well as other climate finance priorities as already described earlier in this document. Country ownership is important not only to implement this project effectively but also to integrate lessons and share at international fora. The project will work with government ministries (Ministry of Economy, Ministry of Finance, Ministry of Agriculture and Water Resources, State Committee for Nature Protection, Uzhydromet, etc.) at the field level, and their participation in project planning and management will be a part of overall project management. Project will contribute in strengthening national capacity to access, manage and account for climate finance.
2. **Multi-disciplinary approach:** Climate finance issues cut across all climate change sectors, including water, agriculture, energy and conservation. Technical experts will be sought to engage and build climate finance capacities. Climate finance also demands the attention of many stakeholder groups: government, academia, NGOs, community groups, the private sector and civil society.
3. **Strong Coordination and Collaboration:** To support and facilitate climate finance readiness processes, it is possible that some sort of "National Steering Committee on Climate Change" could further improve coordination of the type and scale called for by the GCF. Given the cross-sectoral nature of this climate change, a scaled-up body that drew lessons learned from the IMCCDM, but is more comprehensive, is one possible way forward. The main responsibilities of the committee would be to ensure the integration of low-carbon, climate-resilient considerations into development planning by providing overall guidance, political authority, and leadership, thereby facilitating adequate resource allocation and monitoring the results related to national efforts to address and adapt to climate change. Best practices from other countries indicate that the committee functions well if places in the office of the chief executive; the Cabinet of Ministers would likely have a similar effect. Technical issues could be handled by working groups comprised of the key actors from Uzhydromet, Ministry of Economy, Ministry of Finance, State Committee for Nature Protection, Ministry of Agriculture and Water Resources, and others.
4. **Gender and Social Equity Considerations:** The project will pursue a gender-sensitive approach whereby women's participation in training workshops, demonstration activities and management committees will be strongly promoted. Gender and other social inclusion issues will be considered in all stages of project management. As part of the inception workshop, mainstreaming gender throughout the activities will be considered.
5. **Contribution to Global Knowledge and Capacity and South-South Cooperation:** Readiness for climate finance is an emerging field of study and there is a dearth of knowledge in this area. Recently, some tools and methods for assessing readiness for climate finance are being developed. Due to inadequate data and knowledge, it has been difficult to plan and manage climate finance options at multiple levels. In the course of this, project partners will develop decision-making tools that can be applied to assess readiness, identify agencies to manage finance, designate NIEs, and other critical capacities. As these initiatives are occurring in other eight countries (Benin, Colombia, El Salvador, Fiji, Ghana, Kenya, Nepal, and the Philippines), learning from Uzbekistan will be shared with these countries, but will also contribute to how climate finance readiness

capacities can minimize climate risk by maximising access to finance in a Central Asian context. Overall, project will contribute to accessing knowledge, expertise and international best practices, which can be drawn on to facilitate national partners in identifying state-of-the-art solutions to complex environmental challenges; in elaborating evidence-based policies to promote sustainable development; and in knowledge management focused on climate change mitigation, risk management and adaptation.

6. **Contribution to National Strategies, Policies, and International Commitments:** The project will work in conjunction with relevant climate finance efforts in Uzbekistan. These include the following: i) national policies and plans such as the Welfare Improvement Strategy in Uzbekistan for 2013-2015, Action Programme on Environment Protection for 2013-2017, Programme on Implementation of Priority Measures Aimed at Increasing Production Capacities and Launching New Kinds of Competitive Products, Programme on Agriculture Development in 2015-2019; b) Development of the Third National Communication of Uzbekistan to UNFCCC and National Inventory of GHG Emissions; formulation of INDCs, and c) development of sectoral NAMAs, and LEDS, e.g. Low-Emission Development Strategy for Uzbekistan up to 2050 and corresponding Road Map, including targets on energy consumption reduction, etc. The proposed project will contribute to the implementation and improvement of national climate change policy and will assist Uzbekistan stakeholders in planning for, accessing, and managing climate finance. Moreover, Uzbekistan is party to the major international environmental conventions, including UN Framework Convention on Climate Change (UNFCCC) and its Kyoto Protocol, the UN Convention on Biological Diversity (CBD), UN Convention to Combat Desertification (UNCCD), the Vienna Convention for the Protection of the Ozone Layer and the Montreal Protocol on ozone depleting substances. Project will assist the national partners in monitoring implementation of those Conventions, but also supports Uzbekistan in implementing its obligations.

Thus, project objective is fully in compliance with the new UNDAF/CPD (2016-2020) Outcome 6 “By 2020, rural population benefit from sustainable management of natural resources and resilience to disasters and climate change”, and will contribute in particular to achievement of CPD Output 5 “Appropriate policy/regulations/financial products (green mortgage) are in place to enable scaling-up of construction of low-carbon housing/settlements”.

The GCF Readiness Programme, delivered in partnership with UNEP and UNDP, will implement the four project components below through the cooperation and collaboration by all relevant government agencies, LFIs and other stakeholders, and lay out some potential GCF Readiness measures identified during consultations at different levels:

- Awareness and understanding the GCF and its processes, and priorities and coordination on climate finance at the national level;
- Building capacities to develop a pipeline of climate projects and attract investment;
- Investment frameworks for adaptation and mitigation detailing financial needs to address climate change, and sources of funding;
- Training of Uzbekistan Local Financial Institutions (LFIs), including national, subnational, and private sector institutions, to effectively identify and evaluate proposals for climate finance from national stakeholders seeking funding.

Except for those actions for which it is specified that UNEP will lead in implementation, UNDP will lead the implementation of the four components/ outputs.

Component 1: Awareness and understanding on GCF and its priorities and processes, and coordination of climate finance at national level

The project activity under this component will focus on the capacity development of all stakeholders in Uzbekistan to effectively and efficiently access, manage, and monitor climate finance. The project will also emphasize improving awareness of climate finance by subnational entities and national stakeholders, and generate knowledge for national policy support and for up-scaling internationally.

Output 1: Awareness and understanding on GCF and its priorities and processes raised, and coordination of climate finance strengthened at national level achieved through implementation of the below activities and actions:

Activity 1.1: Provide information and advice to the government focal institutions on climate finance, regarding the requirements for direct access to funds of the GCF, including:

- *Action 1.1.1:* Undertake awareness raising on the GCF and its requirements regarding fiduciary and institutional capacities of the GCF (transparency and self-investigative powers; monitoring and evaluation practices; financial and programme management; environmental, social and gender safeguards) through workshops for identified national and subnational stakeholders;
- *Action 1.1.2:* Conduct technical workshop that involves the focal institutions in the type of projects and programmes the GCF will fund and their relation to other sources of climate finance, including the GEF, AF, and CDM, with particular focus on inter-ministerial coordination;
- *Action 1.1.3:* Establish an online information platform and/or a series of knowledge products so that climate finance stakeholders in Uzbekistan understand the GCF and key GCF focal institutions in country;
- *Action 1.1.4:* Provide technical support to the Government focal points on enhancing coordination with the potential to institutionalize climate finance coordination within the IMCCDM or some other body, using the outcomes of Action 1.1.2 as guidance.

Activity 1.2: Support the government focal institutions in consulting and identifying a National Designated Authority (NDA), including:

- *Action 1.2.1:* Assist in identifying national institutional options for the operationalization of a NDA through a mapping of potential NDAs (mandates, capacities) against NDA functions;
- *Action 1.2.2:* Conduct workshops with identified/nominated NDAs candidates to train them on the roles and functions of an NDA;
- *Action 1.2.3:* Facilitate national consultations on the NDA selection;
- *Action 1.2.4:* Develop necessary procedures and documents (readiness checklist; project prioritization process) to enable effective execution of NDA role for Uzbekistan.

Activity 1.3: Support Uzbekistan in identification, assessment and strengthening a national institution to directly access climate finance from the GCF (NIE), including:

- *Action 1.3.1:* Mapping of potential NIEs (mandates, capacities) against NIE functions and accreditation standards (led by UNEP);
- *Action 1.3.2:* Conduct NIE accreditation workshop (led by UNEP);
- *Action 1.3.3:* Facilitate NIE capacity self-assessment in order to identify its current level of capacities as well as any additional capacities that may still be required (led by UNEP);
- *Action 1.3.3:* Support NIE to prepare a capacity development strategy to address any identified needs and gaps (led by UNEP);
- *Action 1.3.4:* Provide support to identify relevant expertise to implement the capacity development strategy and work to address capacity gaps including through targeted technical assistance (led by UNEP).

Component 2: Capacities to develop a pipeline of bankable climate projects to access climate finance

The aim of the project Component 2 is to put in place a system whereby national capacities are built to develop high quality proposals for GCF funding consideration. Development of pipeline necessitates a climate finance system constructed in order to put into practice priorities identified in national plans such as the PIP and LEDS.

Output 2: National capacities to develop a pipeline of climate projects and attract investment built achieved through implementation of the below activities and actions:

Activity 2.1: Support Uzbekistan's stakeholders in assessing the existing pipeline and development of procedures to scale up potential proposals (mitigation and adaptation) seeking climate finance, especially those seeking GCF support, including:

- *Action 2.1.1:* Review the existing pipeline and lessons learned so far (GEF, CDM, AF) and analyze the potential to scale up efforts in priority sectors;
- *Action 2.1.2:* Develop draft requirements for projects and programmes to be eligible for climate finance, especially for those seeking GCF finance;
- *Action 2.1.3:* Assess linkages of potential programmes and projects to existing and planned national policies (PIP) and sectoral strategies (LEDS) and evaluate them against GCF investment criteria.

Activity 2.2: Build capacity of key institutions and actors involved in developing and sustaining a project and programme pipeline, including

- *Action 2.2.1:* Strengthen the coordination and information flow between the ministries and agencies who play a role in the domestic mitigation and adaptation activities, including incorporating guidance from results of actions 1.1.2 and 1.1.4 above;
- *Action 2.2.2:* Conduct series of workshops and trainings with the key stakeholders in public and private sectors to facilitate the buildup of the pipeline of projects and programmes;
- *Action 2.2.3:* Provide technical assistance to projects and programmes for attainment of critical milestones in the early stage project development process, such as business plan development or financial structuring;
- *Action 2.2.4:* Provide ongoing technical assistance to public and private sector project and programme developers with a view to submitting proposals to relevant climate funds, including GCF, in one or two identified priority sectors, using results of actions 2.1.1, 2.1.2, and 2.1.3 above.

Component 3: Investment frameworks for adaptation and mitigation detailing financial needs to address climate change, and sources of funding

This Component is aimed at setting up a long-term infrastructure where the future climate-relevant investment priorities are mapped out in order to attract investments and set up long-term partnerships. Under this Component, a foundation for prioritized climate projects to become part of the pipeline to be developed within the project Component 2 can be provided.

Output 3: Investment frameworks for adaptation and mitigation detailing financial needs to address climate change developed, and sources of funding identified achieved through implementation of the below activities and actions:

Activity 3.1: Assess climate change-related priorities and associated financing required to address/implement those priorities, and identify potential sources of funding - international, national, private and public - and current barriers to investments, including:

- *Action 3.1.1:* Conduct a mapping of the LEDS investment plan to identify areas for operationalization; to prioritize actions for short and long-term investment; and to identify gaps in sectors or barriers for adequate financing;
- *Action 3.1.2:* Identify climate change risks and adaptation priority areas for investments in agriculture, and climate change risks and mitigation priority areas for investments in energy sector, including buildings;
- *Action 3.1.3:* Conduct pre-feasibility assessments for adaptation/mitigation priorities identified;
- *Action 3.1.4:* Conduct cost-benefit analysis of adaptation/mitigation options identified

Component 4: Training of Uzbekistan LFIs, including national, subnational, and private sector institutions, to effectively identify and evaluate proposals for climate finance from national stakeholders seeking funding

The ability to understand, analyze, and structure financing to fit the specific needs of climate-relevant investment is not automatically understood by non-governmental financial institutions. A number of commercial banks and other LFIs have expressed interest in financing these types of interventions. However, without the proper understanding of the particular circumstances surrounding climate change mitigation and adaptation projects, funding is often left to public sources. Trained and capacitated LFIs can create a context in which smaller, initial investments by the public sector “crowd in” follow on investment by private/financial sector actors, including financial institutions.

Output 4: Uzbekistan LFIs, including national, subnational, and private sector institutions, are able to effectively identify and evaluate proposals for climate finance from national stakeholders seeking funding achieved through implementation of the below activities and actions:

Activity 4.1: Train LFIs to identify, assess and structure financing plans for climate-relevant investment opportunities in the public and private sectors, including:

- *Action 4.1.1:* Raise LFI awareness on general climate change finance issues through a workshop and training on climate-relevant investments as well as through the knowledge developed under actions 1.1.2 and 1.1.3;
- *Action 4.1.2:* Through targeted technical assistance, and with the active participation of experienced stakeholders including MoE, MoF, and UFRD, among others, assist LFIs to understand, assess and compare levels of risk and potential returns of various types of investments, including via cost-benefit analysis; strengthen LFI skills related to project financing structures and modeling in mitigation and adaptation sectors; and train experts of LFIs on the criteria for evaluating climate change projects.

Activity 4.2: Support financial institutions in public and private sectors in Uzbekistan in effective coordination between national stakeholders to facilitate the process of developing and financing climate-relevant investments across sectors, including

- *Action 4.2.1:* Identify and establish domestic mechanisms of support from the state funds to assist LFIs in fostering mitigation activities, e.g. small-scale energy efficiency programmes, supports for renewable energy producers, and similar efforts;
- *Action 4.2.2:* Facilitate the establishment of linkages between financial institutions and entrepreneurs in priority sectors in order to develop or adapt financial mechanisms to be employed to finance climate projects in advancement of national goals.

The proposed project components, expected outputs and activity results along with corresponding budget distribution are summarized in **Annex 1**.

A detailed breakdown of the budget is presented in **Chapter IV**.

MILESTONES	EXPECTED DATES
Start of Project/Programme Implementation	January 2016
Project/Programme Closing	December 2016

2.2 Cost-effectiveness of the Proposed Project

The effort to improve climate finance capacities are largely ad-hoc in many countries around the world. These fragmented responses may address an issue or yield an impact in a given locality or sector in a specific time. However, without due consideration of a whole-of-government approach to readiness for climate finance, the outputs and impacts of isolated actions will be unsustainable. With this fragmented approach, opportunities for mainstreaming climate change finance into normative frameworks – a cost-effective way to achieve changes in natural resource management sectors – will be missed.

Unless climate finance capacities and decision-making tools for accessing and managing finance are properly incorporated into national policies, plans, and institutions, Uzbekistan stands to lose out on the access to the GCF and other international finance while also losing an opportunity to spur local, climate-relevant investment. Therefore, in the absence of support by this project, Uzbekistan will lack the critical capacities needed to fully engage with both external and internal sources of climate finance.

The approach proposed by this project provides an integrated package of measures that will effectively generate the necessary systemic and institutional capacities, decision-making tools and actions for achieving readiness for climate finance. Simultaneously, the project will demonstrate a range of options to address both the supply and demand side of climate change financing.

The proposed project is cost effective for two reasons. First, the GCF Readiness programme brings to bear the comparative advantages of three distinct partner agencies (UNDP, UNEP, WRI) with previous experience in building climate finance capacities; since this is a pioneering effort to build GCF readiness, this approach will reduce transaction costs and ensure cohesiveness with emerging international norms. In addition, the global GCF Readiness Programme is designed to work with existing stakeholders and institutions by building capacities in the national context that Uzbekistan might otherwise seek externally. By installing these tools, guidelines and skills now, Uzbekistan will be better placed to access international sources of climate finance.

The project applies existing best practices from the past and ongoing interventions (see the major climate change related projects and programmes implemented in Uzbekistan in **Annex 2**) that are proven to be cost effective. There have been few interventions of this comprehensive nature anywhere, with the GCF still in its infancy, and the programme partners represent some of just a few of the organisations who have built these capacities before. The experiences gained will be applied to optimize management of climate finance, thus avoiding optimizing a particular resource at the cost of the others under changing climatic conditions.

2.3 Replicability

One of the important objectives of this project is to develop a pathway to climate finance readiness, which can be used elsewhere. Therefore, special attention will be given to decision-making tools, institutional assessments, execution of project activities, and monitoring and evaluation of activities. The proposed assessments, tools, and methods will be tested at the national and subnational levels. With this rigour, it is expected that the findings (tools and methods) will be replicable to other countries beyond Uzbekistan.

2.4 Sustainability

2.4.1 Institutional sustainability

The long-term viability and sustainability of the project will depend greatly on institutional sustainability. The project has strong government support at both central and local levels. Various stakeholders from the government and civil society were involved in the GCF Readiness Framework development process leading to a broad consensus over immediate and urgent adaptation priorities. Reflecting the acute understanding in Uzbekistan that capacities to address climate finance concerns need to be strengthened across many sectors, this project has been designed in a programmatic manner and all project outcomes have activities designed to build technical capacities within respective ministries/departments, private sector as well as other stakeholders. It is important to note that the engagement of partners in the programmatic approach adopted in the implementation of the project goes beyond sectoral agencies, and include subnational stakeholders to ensure mainstreaming of national climate finance concerns at the local level. Hence, through the implementation of the project, municipalities, civil society, the private sector, as well as usual national stakeholders will gain experience in coordinating with technical agencies from the capital in delivering climate finance capacity building in line with the GCF Readiness Framework.

2.4.2 Environmental Sustainability

The project outcome and outputs are all geared towards increasing efficiency in delivery of climate change finance for enhanced environmental sustainability in Uzbekistan. While the project does not implement measures that directly enhance environmental sustainability per se, the capacity to efficiently and effectively plan, access, and deliver climate finance ensures that all climate interventions are in line with national priorities, strategies and needs. Thus, the eventual external or domestic finance accessed by Uzbekistan using capacities built or strengthened through the project will be more impactful than finance delivered in isolation. Lessons and good practice from the project regarding environmental sustainability and climate resilience will furthermore be shared broadly to increase the project impact. UNDP operational procedures (in particular, the Environment and Social Screening procedures) will also be applied and all significant environmental risks will be identified in advance, be eliminated through design alternatives or managed to offset such risks to acceptable levels. As a whole the project will thus have a positive effect on environmental sustainability of development in Uzbekistan and in such cases where environmental risks of specific project activities are identified, these will be addressed adequately.

2.4.3 Social Sustainability

Overall the project will improve the public service delivery in relevant social sectors. Uzbekistan's ability to access funds for addressing climate change adaptation and mitigation needs should increase by end of the project. The focus on subnational actors and civil society will help ensure that vulnerable groups can build capacities to access funds to address the highly localized impacts of climate change. Women will especially benefit from improved access to climate finance, as availability of nontraditional sources of finance – microfinance, crowd-sourced finance – can benefit vulnerable and marginalized groups. The project approach to readiness and its results will be documented and lessons shared to create a higher understanding of and support for climate finance development effectiveness approaches in Uzbekistan and elsewhere. As part of this process, the critical role of civil society organizations in sustainable development and the need for partnerships between Government and non-state actors, will also be further promoted and strengthened.

2.5 Stakeholder Involvement Plan

The Table 1 below provides a brief account of some of the various organizations and their work in relation to climate finance readiness.

Table 1: Stakeholder and baseline analysis

Stakeholder type	Stakeholder list	Baseline work	Potential contributions and roles in the project
Government agencies	Cabinet of Ministers, Uzhydromet, IMCCDM, Ministry of Economy, Ministry of Finance, UFRD, SCNP, MAWR, JSC “Uzbekenergo”	<i>CoM</i> is responsible for coordinating climate change activities at the international, national, regional and sub-national levels.	Providing strategic coordination and advice. Project Component 1, Actions 1.1, 1.2, and 1.3
		<i>Uzhydromet</i> is responsible for the implementation national climate change priorities, and is focal point to communicate to UNFCC, including Adaptation Fund.	Delivery of technical project components in collaboration with the PMU/project staff and consultants (where appropriate); provision of technical advice; undertaking of studies, consultations, workshops in collaboration with the Project team. Project Component 1, Actions 1.1, 1.2, and 1.3; Component 2, Actions 2.1, and 2.2; and Component 3, Action 3.1
		<i>Ministry of Economy</i> is lead and host the IMCCDM, and is a key agency that is entrusted by the government with coordination of climate change mitigation activities and initiatives, in particular energy efficiency and renewable energy. MoE also ensures integration with the global economy, develops national and sectoral programmes, and is coordinating and overseeing implementation of international technical assistance programmes.	Providing strategic and technical advisory and consulting (where appropriate); coordination with other government authorities at a national level (focusing on mitigation); mobilization of human and financial resources. Project Component 1, Actions 1.1, 1.2, and 1.3; Component 2, Actions 2.1, and 2.2; and Component 3, Action 3.1
		<i>Ministry of Finance</i> provides the annual allocation in the state budget for national programs and is the government agency that handles sovereign lending and ODA. It also	Providing strategic and technical advisory and consulting on planning and integrations climate financing and reporting on its spending into the state budget system. Project Component 1, Actions 1.1 and 1.3;

		<p>implements coordination and control over spending of grant-based technical assistance aimed at MDG achieving.</p>	<p>Component 2, Action 2.1; Component 3, Action 3.1; and Component 4, Actions 4.1 and 4.2</p>
		<p><i>State Committee for Nature Protection (SCNP)</i> develops and implements the unified nature protection and natural resources saving policy, state control over environment protection, comprehensive inter-agency management of nature protecting activities through wider and primarily application of the corresponding economic approaches and use of natural resources, promoting the nationwide introduction of resources saving, recycling and/or waste-free technologies as well as advanced R&D. It also is responsible for safe and clean environment and its improvements. Through its national and local environmental protection funds, SCNP funding environment conservation activities (programmes) aimed at reducing of environment polluting through inter alia introduction of environment friendly, clean and resources saving technologies, and restoration of natural sites destroyed by economic activities. The Committee is the government body responsible for ensuring coordination of fulfillment Uzbekistan's obligations undertaken under international, multilateral</p>	<p>Providing strategic and technical advisory on national environment protection policy, inter-agency coordination, funding nature protection and natural resources saving activities, performing functions of potential NIE for accreditation to GCF. Project Component 1, Actions 1.1, 1.2 and 1.3; Component 2, Action 2.1 and 2.2; and Component 3, Action 3.1; and Component 4, Actions 4.1 and 4.2</p>

		and bilateral, environment conservation treaties.	
		<i>Ministry of Agriculture and Water Resources (MAWR)</i> is a government body responsible for implementation of the unified agro-technical policy aimed at modernization and sustainable development of agriculture, ensuring strict observance of legislation on utilization of land and water resources. MAWR participates in development of investment policies for agriculture and water sectors, and in forestry.	Providing strategic and technical consulting assistance on funding investment projects related to agriculture, water and forestry sectors, and coordination of their implementation. Project Component 1, Actions 1.1, 1.2 and 1.3; Component 2, Actions 2.1 and 2.2; and Component 3, Action 3.1
		<i>IMCCDM</i> is the inter-ministerial body that provides direction and guidance on climate change issues.	Sharing its expertise on development, endorsement and MRV of CDM projects and corresponding national capacity building that can be relevant to establishing NDA to GCF. Project Component 1, Actions 1.1, and 1.2; Component 2, Action 2.1
		<i>Fund for Reconstruction and Development of Uzbekistan (FRDU)</i> finances and co-finances strategic industrial investment projects, provides assistance with its expertise, analysis and liaison with local institutions at all levels, and thus contributes to sustainable growth, industrial development, and introduction of advanced, energy efficient technologies. It funds projects through financial mechanism (credit lines) provided to 5 key national banks, FRDU has vast experience of working with international development	Providing and technical advisory and consulting on financing investments project with ensuring international environment and social safeguards, serve as potential NIE for accrediting to GCF. Project Component 1, Actions 1.1, and 1.2; Component 2, Action 2.2; Component 3, Action 3.1; and Component 4, Actions 4.1 and 4.2

		banks (WB, ADB, IsDB, KDB, China DB, etc.)	
		<i>JSC "Uzbekenergo" (National Power Utility Company)</i> serves as national implementing agency of a number international investment projects (funded by ADB, WB, JICA, etc.) It is national power generation and supply company.	Beneficiaries of capacity building and training; mobilization of communities; involvement in implementation and monitoring of climate-change related projects, providing technical services. Компонент 1, мероприятие 1.1; Компонент 2, мероприятия 2.1, и 2.2; Компонент 3, мероприятие 3.1 Project Component 1, Action 1.1, Component 2, Actions 2.1 and 2.2; Component 3, Action 3.1
Sub-national authorities	Leaders from regional, municipal bodies	Responsible for addressing climate change at the sub-national levels	Beneficiaries of capacity building and training; congregators of additional stakeholders at village-level. Project Component 1, Actions 1.1, 1.2, and 1.3; Component 2, Actions 2.1, and 2.2; and Component 3, Action 3.1
NGOs	Environmental Movement of Uzbekistan, National Association of the Non-Governmental and Non-Commercial Organizations, and Association "Enterprises of Alternative Fuels and Energy"	Involved in national activities and international development projects dealing with climate change mitigation and adaptation but not necessarily focused on the financing of such actions	Beneficiaries of capacity building and training; delivery of training; community mobilization; and monitoring; providing technical services. Project Component 1, Action 1.1; Component 2, Actions 2.1, and 2.2
Private sector	LFIs, SMEs, State-owned enterprises; Trade and Industries Chamber of Uzbekistan	Involved in CDM and some development projects dealing with mitigation; LFIs; MFIs	Beneficiaries of capacity building and training; project pipeline development. Project Component 2, Actions 2.1 and 2.2; Component 3, Action 3.1; and Component 4, Actions 4.1 and 4.2

Regional/ international bodies	Charity Fund for Aral Gene Pool Protection, Executive Committee of the International Fund for Saving the Aral Sea, UNEP, UNDP, GIZ, World Bank, ADB	Development of policies and programme/projects; Programme and project implementation	Capacity building and training; technical assistance; mobilisation of human and financial resources. Project Component 1, Actions 1.1, 1.2, and 1.3; Component 2, Actions 2.1, and 2.2; and Component 3, Action 3.1
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2.6 Consultative process, including the list of stakeholders consulted, undertaken during project preparation

The project has been requested by the Government of Uzbekistan, and project concept was developed in close consultations with the key stakeholders (see **Annex 3**).

2.7 Potential risks and assumptions

Project Risks and assumptions (Table 2) were also analyzed during scoping and project design stage and a brief outline is presented below.

Table 2: Potential project risks and assumptions

Identified Risks	Risk rating	Mitigation Measures
Political risk: Successful outcome for this project is highly dependent on political agreement and progress made within the GCF process. Direct access will be one of the modalities for the disbursement of GCF funds, but the exact modalities are still under development. In addition, the scale and process of capitalization of GCF funds are still in process of being defined. Delays or changes in the modalities of the implementation and deployment of the GCF funds may impact the design of the GCF Readiness Programme activities.	High	<ul style="list-style-type: none"> • Closely following and associating with the ongoing international negotiations and the outcomes of the GCF Board meetings, as well as ensuring a dynamic set-up of the Programme activities that can be adapted to potential changes of GCF modalities. • Providing broad-based support that builds readiness capacities beyond those identified by the GCF ensures this project will assist Uzbekistan to access international finance even in absence of clear signals from GCF.
Institutional setup: The successful outcome of the proposed project, in particular with regards to advancing in the accreditation process of potential implementing entities vis-à-vis the GCF, is dependent on a proactive process within the target countries in terms of nominating a	Medium	<ul style="list-style-type: none"> • Comprehensively informing and advising the target country governments regarding accreditation requirements, and offer the targeted support to the governments in the process of consulting about and identifying an appropriate institution.

national, subnational or regional implementing entity to be accredited.		
Loss of government support may result in lack of prioritization of project activities.	Low	<ul style="list-style-type: none"> • Ensure that government maintains its commitment and considers the project as a support to its climate change policies and priorities programmes by undertaking regular stakeholder consultation and capacity building.
Capacity constraints of local institutions may limit the ability to undertake project activities.	Medium	<ul style="list-style-type: none"> • Identify and develop human resources capacity as required. • Initiate collaboration and exchange between local institutions and international expert groups • National coordinator to ensure timely delivery of project outputs.

III. PROJECT RESULTS AND RESOURCES FRAMEWORK

<p>Intended Outcome as stated in the Country Programme Results and Resource Framework:</p> <p>By 2020, rural population benefit from sustainable management of natural resources and resilience to disasters and climate change (2016-2020)</p> <p>Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:</p> <p>Indicator: Availability of effective mechanisms of implementation of policies/legislation that take into consideration climate change/ sustainable use of natural resources (2016-2020)</p> <p>Baseline: No (2016-2020)</p> <p>Target: Yes (2016-2020)</p> <p>Primary applicable Key Environment and Sustainable Development Key Result Area: 1 Growth is inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded</p> <p>Partnership Strategy: Centre of Hydrometeorological Services under the Cabinet of Ministers of the Republic of Uzbekistan (Uzhydromet) is the National Implementing Partner. Other partners are Ministry of Economy, Ministry of Finance, State Committee for Nature Protection, Ministry of Agriculture and Water Resources, Fund for Reconstruction and Development of Uzbekistan, national banks, central and regional municipal authorities.</p> <p>Project title and ID (ATLAS Award ID): Green Climate Fund (GCF) Readiness Programme in Uzbekistan, Project ID #00096908 (ATLAS Award ID #00091977)</p>				
INTENDED OUTPUT	OUTPUT TARGETS FOR YEARS	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
<p>Capacities of stakeholders in Uzbekistan to plan for, access, manage, and monitor climate change finance at the national and subnational levels developed</p> <p>Baseline 1:</p> <p>1.1 No trainings conducted on GCF requirements and/or coordination of direct and indirect access by national institutions;</p> <p>1.2 No climate finance coordination mechanism is in place;</p>	<p><u>2016</u></p> <p>Target 1:</p> <p>1.1 Two trainings (at least one on GCF requirements and one on GCF projects and programmes for funding consideration) conducted for national institutions;</p> <p>1.2 Climate finance task force/coordination mechanism is established and functional;</p>	<p>Activity Result 1: Awareness and understanding on GCF and its priorities and processes raised, and coordination of climate finance strengthened at national level</p> <p>Action 1.1: Provide information and advice to the government focal institutions on climate finance regarding the requirements for direct access to funds of the GCF</p> <p>Action 1.2: Support the government focal institutions in consulting and identifying a National Designated Authority (NDA)</p> <p>Action 1.3: Support Uzbekistan in identification, assessment and</p>	<p>Activity Result 1:</p> <p>UNDP? UNEP, Uzhydromet, Ministry of Economy, Ministry of Finance, State Committee for Nature Protection, Ministry of Agriculture and Water Resources, Fund for Reconstruction and Development of Uzbekistan, national banks, central and regional municipal authorities</p>	<p>TOTAL for UNDP Activity 1: \$215,423</p> <p>Year 2016: \$215,423 (National and International Consultants, contractual services, travels, workshops/trainings, printings, etc.)</p>

<p>1.3 No online platforms established for climate finance information;</p> <p>1.4 No dedicated knowledge products produced for climate finance information;</p> <p>1.5 No entities identified, assessed, and supported for accreditation to the GCF</p> <p>Indicator 1:</p> <p>1.1 # of trainings/workshops on GCF requirements for direct and indirect access conducted for national institutions;</p> <p>1.2 Climate finance task force/coordination mechanism is established and functional;</p> <p>1.3 # of online platforms established for climate finance information;</p> <p>1.4 # of knowledge products produced for climate finance information;</p> <p>1.5 # of entities identified, assessed, and supported for accreditation to the GCF</p> <p>Baseline 2:</p> <p>2.1 No tools developed or tailored for Uzbekistan to assess and/or scale up climate projects and programmes;</p> <p>2.2 No tools/checklists developed to prioritise projects and link pipeline to national policies and priorities;</p>	<p>1.3 One online platform populated with climate finance information is in place and operational;</p> <p>1.4 Three knowledge products published;</p> <p>1.5 At least one entity identified and assessed for being capable, and supported for applying for accreditation to the GCF (UNEP)</p> <p>Target 2:</p> <p>2.1 At least 3 tools (procedures, criteria and menus) required for assessment and/or scale up climate projects and programmes based on best international practices adjusted to national context adopted and used by the government agencies;</p> <p>2.2 At least two tools/checklists developed and used by at least one inter-ministerial body trained, and project pipeline prioritized and linked to national policies and priorities;</p> <p>2.3 At least two trainings on pipeline development conducted, and trained public sector and private sector stakeholders are capable to develop project concepts for GCF pipeline;</p> <p>2.4 At least two project concepts for GCF pipeline developed by public and/or private stakeholders and adopted by the government; and included into the GCF pipeline</p> <p>Target 3:</p> <p>3.1 One national adaptation financing strategy developed and adopted;</p>	<p>strengthening a national institution (NIE) to directly access climate finance from the GCF (UNEP)</p> <p>Activity Result 2: National capacities to develop a pipeline of climate projects and attract investment built</p> <p>Action 2.1: Support Uzbekistan's stakeholders in assessing the existing pipeline and development of procedures to scale up potential proposals (mitigation and adaptation) seeking climate finance, especially those seeking GCF support</p> <p>Action 2.2: Build capacity of key institutions and actors involved in developing and sustaining a project and programme pipeline</p> <p>Activity result 3: Investment frameworks for adaptation and mitigation detailing financial needs to address climate change developed, and sources of funding identified</p> <p>Action 3.1: Assess climate change-related priorities and associated financing required to address/implement those priorities, and identify potential sources of funding - international, national, private and public - and current barriers to investments</p> <p>Activity result 4: Uzbekistan's LFI's, including national, subnational, and private sector institutions, are able to effectively identify and evaluate proposals for climate finance from national stakeholders seeking funding</p> <p>Action 4.1: Train LFI's to identify, assess and structure financing plans for climate-relevant investment opportunities in the public and private sectors</p> <p>Action 4.2: Support financial institutions in public and private sectors in Uzbekistan in effective coordination between national</p>	<p>Activity Result 2: UNDP, Uzhydromet, Ministry of Economy, Ministry of Finance, State Committee for Nature Protection, Ministry of Agriculture and Water Resources, Fund for Reconstruction and Development of Uzbekistan, national banks, central and regional municipal authorities</p> <p>Activity Result 3: UNDP, Ministry of Economy, Ministry of Finance</p> <p>Activity Result 4: UNDP, Ministry of Finance, Fund for Reconstruction and Development of Uzbekistan, national banks</p>	<p>TOTAL for UNDP Activity 2: \$284,906</p> <p>Year 2016: \$284,906 (National and International Consultants, contractual services, travels, workshops/trainings, printings, etc.)</p> <p>TOTAL for UNDP Activity 3: \$387,896</p> <p>Year 2015: \$0</p> <p>Year 2016: \$387,896 (National and International Consultants, contractual services, travels, workshops/trainings, printings, etc.)</p> <p>TOTAL for UNDP Activity 4: \$182,832</p> <p>Year 2016: \$182,832 (National and International Consultants, contractual services, travels, workshops/trainings, printings, etc.)</p>
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<p>2.3 No trainings on GCF pipeline development for public or private sector stakeholders;</p> <p>2.4 Limited, if any, proposals developed in priority sectors by public or private sectors for GCF</p> <p>Indicator 2:</p> <p>2.1 # of tools developed or tailored for Uzbekistan to assess and/or scale up climate projects and programmes;</p> <p>2.2 # of tools/checklists developed to prioritise projects and link pipeline to national policies and priorities;</p> <p>2.3 # of training workshops on GCF pipeline development conducted for public and private sectors;</p> <p>2.4 # of proposals developed in priority sectors by public and/or private stakeholders</p> <p>Baseline 3:</p> <p>3.1 No national strategies on financing adaptation priorities;</p> <p>3.2 No studies conducted to cost LEDS or national adaptation strategy</p> <p>Indicator 3:</p> <p>3.1 # of national strategies developed and adopted to prioritise and finance adaptation sectors;</p> <p>3.2 # of studies conducted to assess and identify cost priority actions for LEDS, national adaptation strategy</p>	<p>3.2 UNDP's methodology on Investment and Financial Flows (I&FF) used to assess near-term costs for implementation of LEDS and/or adaptation priority sectors</p> <p>Target 4:</p> <p>4.1 Two series trainings on assessing climate relevant investment opportunities, climate finance mechanisms, and structuring of climate finance mechanisms conducted for LFIs;</p> <p>4.2 One tool adopted for mitigation sector investments; and one tool adopted for adaptation sector investments; and LFIs are able to use them in climate finance investment opportunities;</p> <p>4.3 At least one mechanism aimed at facilitate climate-relevant project development (e.g., PPPs, revolving funds, etc.) developed, adopted, and is operational</p> <p>Target 5:</p> <p>5.1 Monitoring and Evaluation system developed and is operational;</p> <p>5.2 M&E and adaptive management applied to project in response to needs, and lessons learned codified</p>	<p>stakeholders to facilitate the process of developing and financing climate-relevant investments across sectors</p> <p>Activity result 5: Monitoring, learning, adaptive feedback, outreach and evaluation conducted</p> <p>Action 5.1: Conduct M&E of project activities, including within Inception phase, conduct Inception workshop and develop Inception Report</p> <p>Action 5.2: Apply adaptive management to project in response to its needs, and develop final report, and document lessons learnt</p> <p>Activity result 6: GMS</p> <p>Activity result 7: Project Management</p>	<p>Activity Result 5: UNDP, UNEP, Uzhydromet</p> <p>Activity Result 6: UNDP, UNEP</p> <p>Activity Result 7: UNDP, UNEP</p>	<p>TOTAL for UNDP Activity 5: \$13,000</p> <p>Year 2016: \$13,000 (National Consultants, contractual services, travels, workshops/trainings, printings, etc.)</p> <p>TOTAL for UNDP Activity 6: \$124,769</p> <p>Year 2016: \$124,769 (Facility and Administration)</p> <p>TOTAL for UNDP Activity 7: \$163,632</p> <p>Year 2016: \$163,632 (Contracts for project team, procurement of office and IT equipment, supplies, travels, communication, etc.)</p>
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<p>Baseline 4: 4.1 No trainings for LFIs on assessing climate-relevant investment opportunities, climate finance mechanisms; 4.2 No tools developed or adopted by LFIs for use in climate finance investment opportunities; 4.3 No mechanisms established to facilitate public-private cooperation for climate-relevant project development</p> <p>Indicator 4: 4.1 # of trainings for LFIs on assessing climate-relevant investment opportunities, climate finance mechanisms; 4.2 # of tools developed and adopted through training by LFIs for evaluating climate change projects; 4.3 # of established and functional mechanisms to facilitate project development between LFIs, state funds and project developers</p> <p>Baseline 5: 5.1 No Monitoring and Evaluation system; 5.2 No evaluation of project output and outcomes</p> <p>Indicator 5: 5.1 Monitoring and Evaluation system is in place; 5.2 Project outputs and outcomes monitored and lessons learned codified</p>				

IV. MANAGEMENT ARRANGEMENTS

Arrangements for project/programme implementation

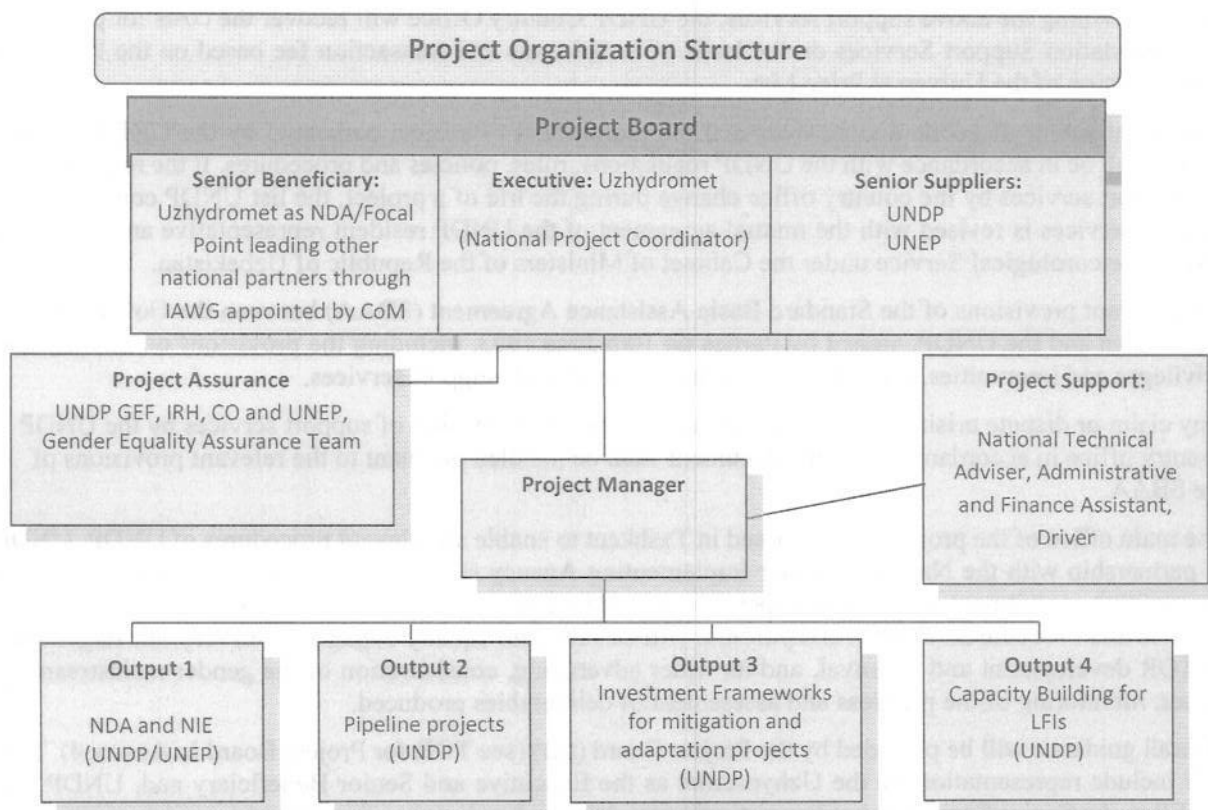
UNDP and UNEP are programme partners and will implement the project as a consortium, with UNDP taking the overall lead of the project. This will ensure both agencies are equally involved in all relevant thematic aspects of the project implementation as well as provide required support and guidance to capacity building and institutional strengthening of key stakeholders. This approach should also avoid confusion among stakeholders with multiple agencies sharing responsibilities while encouraging UNDP and UNEP to work as one UN system.

The project will be implemented under the National Implementation Modality (NIM), as described in the UNDP Programme and Operations Policies and Procedures (POPP), and UNDP will be responsible for timely disbursements of funds and providing oversight to the management to make sure that project outputs are delivered in an efficient and cost effective manner. UNDP will also co-ordinate with other GCF Readiness partners to secure their inputs in developing a joint work plan for the partnership project, tracking the progress and reporting. Reporting of project implementation progress will be done for all parties involved, and monitoring and evaluation activities will be implemented jointly. At the national level, the project will be implemented by the Center of Hydrometeorological Services under the Cabinet of Ministers of the Republic of Uzbekistan (Uzhydromet) as the National Implementing Partner.

The Uzhydromet will be responsible for the timely delivery of project inputs and outputs, and in this context, for the coordination of all other responsible parties, including other government agencies, regional and local government authorities.

The adaptive project management approach will be applied through the Project Board instrument, which involves two UN agencies and other parties (German Embassy, NGOs, etc.). The membership of the Project Board shall be at the discretion of Uzhydromet. External entities may attend meetings to provide their thematic advice and proposals.

The activities will be implemented nationally by bringing in each party inputs to achieve the expected project outputs.



Direct UNDP Country Office Support Services to the Programme Implementation

In accordance with the provisions of the letter of agreement on Direct Project Services signed on 21 December, 2015 (Annex 9), and the approved Country Programme Document for 2016-2020, the UNDP country office shall provide support services for the Project as described below.

The UNDP and Centre of Hydrometeorological Services under the Cabinet of Ministers of the Republic of Uzbekistan have agreed that the UNDP Country Office will provide the following support services for the project activities at the request of the Centre of Hydro-meteorological Service under the Cabinet of Ministers of the Republic of Uzbekistan for the whole duration of the project cycle:

- Identification and/or recruitment and solution of administrative issues related to the project personnel;
- Procurement of commodities, labor and services;
- Identification and facilitation of training activities, seminars and workshops;
- Processing of direct payments.

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 Centre of Hydro-meteorological Service under the Cabinet of Ministers of the Republic of Uzbekistan 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 and actual version of the 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. 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 Centre of Hydro-meteorological Service under the Cabinet of Ministers of the Republic of Uzbekistan.

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.

The main office of the project will be based in Tashkent to enable all relevant procedures of UNDP. UNDP in partnership with the National Partner Implementing Agency (Uzhydromet) will be responsible for the competitive recruitment of national experts in accordance with the UNDP's Programme and Operations Policies and Procedures (POPP). Uzhydromet will be fully and equally engaged in all relevant stages such as TOR development and approval, and its wider advertising, consideration of the gender mainstreaming issues, monitoring of the progress and assessment of deliverables produced.

Overall guidance will be provided by the Project Board (PB) (see TOR for Project Board in **Annex 4**). This will include representation by the Uzhydromet as the Executive and Senior Beneficiary and, UNDP and UNEP as the Senior Suppliers, but key national governmental and non-governmental agencies, appropriate local level representatives, and representatives of local governments, but independent third-parties such as international or national NGOs can attend the augmented PB meetings as observers as well. The PB will be balanced in terms of gender.

The Project Board will be responsible for making management decisions for the project, in particular when guidance is required by the Project Manager (PM). It will play a critical role in project monitoring and evaluations by assuring the quality of these processes and associated products, and by using evaluations for improving performance, accountability and learning. The Project Board will ensure that required resources are committed. It will also arbitrate on any conflicts within the project and negotiate solutions to any problems with external bodies. In case a consensus cannot be reached, final decision shall rest with the UNDP with full consultation and engagement of UNEP. Project reviews by PB are made at designated decision points during the running of a project (at least once a year), or as necessary when raised by the PM. In addition, it will approve the appointment and responsibilities of the PM and any delegation of its Project Assurance responsibilities. Based on the approved Annual Work Plan, the Project Board can also consider and approve the annual plan and also approve any modifications of the original plans.

In order to ensure UNDP ultimate accountability, Project Board decisions should be made in accordance to standards⁶ that shall ensure best value to money, fairness, integrity, transparency and effective international competition.

⁶ UNDP Financial Rules and Regulations: Chapter E, Regulation 16.05: a) The administration by executing entities or, under the harmonized operational modalities, implementing partners, of resources obtained from or through UNDP shall be carried out under their respective financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of

Potential members of the Project Board will be reviewed and recommended for approval during the Project Appraisal Committee (PAC) meeting. The Project Board will contain three distinct roles:

Executive Role: This individual will represent the project “owners” and will chair the group. It is expected that the Uzhydromet will appoint a senior official to this role who will ensure full government support of the project and serve as the National Project Coordinator (NPC) (see TOR National Project Coordinator in **Annex 5**).

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

Senior Beneficiary Role: This role requires representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary’s primary function within the Board will be to ensure the realization of project results from the perspective of project beneficiaries. The principal project beneficiary is the Uzhydromet but other project stakeholders listed below will be duly involved and consulted during the strategic decision-making and monitoring process during the augmented Project Board meetings.

The Ministry of Economy, Ministry of Finance, State Committee for Nature Protection, Ministry of Agriculture and Water Resources, Fund for Reconstruction and Development of Uzbekistan, national banks, central and regional municipal authorities will benefit from project results through development of their capacity to participate in the decision-making and progress-monitoring processes. In addition, all stakeholders will be covered by the corresponding training, education, and outreach activities, and will also benefit from an improved environment at the central, regional and local levels. These stakeholders can also establish an Inter-Agency Working Group to provide advisory services and strategic recommendations to the Project Board and can meet either on regular (e.g. annually or quarterly) or ad-hoc basis.

Project Assurance: The Project Assurance role supports the Project Board Executive by carrying out objective and independent project oversight and monitoring functions. The Project Assurance role at the country level will rest with UNDP Uzbekistan, i.e. Environment and Energy Unit (EEU) supported (when needed) by the Resource Management Unit (RMU) of the UNDP CO Uzbekistan.

A *Project Team* will be established comprised of core staff including: the Project Manager, and Project Administrative and Finance Assistant. The project team will assist the Uzhydromet in performing its role as the National Implementing Partner. The PM will be recruited in accordance with UNDP’s regulations to manage actual implementation of the project and will be based in Tashkent. The PM will be responsible for overall project coordination and implementation, consolidation of work plans and project papers, preparation of annual (and/or quarterly, if required) progress reports, reporting to the project supervisory bodies, and supervising the work of the project experts and other project staff. The PM will also closely coordinate project activities with relevant government institutions and hold regular consultations with other project stakeholders and partners. To ensure overall coordination and coherence of UNDP and UNEP-led activities, the PM will also facilitate implementation of UNEP-led activities, including facilitating missions of UNEP staff and experts, support in organizing in-country events, and liaising with national stakeholders to deliver such UNEP-led activities. Under the direct supervision of the PM, the Administrative and Finance Assistant will be responsible for administrative and financial issues, and will get support from the existing UNDP Operations division (see provisional TORs for the key project team staff in **Annex 6**). A National Technical Adviser (NTA) will support PM in implementation of relevant thematic project activities based on his/her sound expertise in climate finance, fiduciary requirements, environmental and social safeguards,

UNDP; and b) Where the financial governance of an executing entity or, under the harmonized operational modalities, implementing partner, does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition that of UNDP shall apply.

and/or mitigation and adaptation to climate change as well as practical experience with development of projects for climate financing funds/donors.

To achieve the project outputs and implement the project activities, the Project Manager will also be supported by national experts (from research institutes, relevant ministries, regional and local authorities, NGOs etc.) and international consultant(s) recruited by UNDP and UNEP (for UNEP-led activities) based on the approved Annual Plan on project activities. The PM will be responsible for the consultants' timely deliverables and their contributions to the overall project outputs.

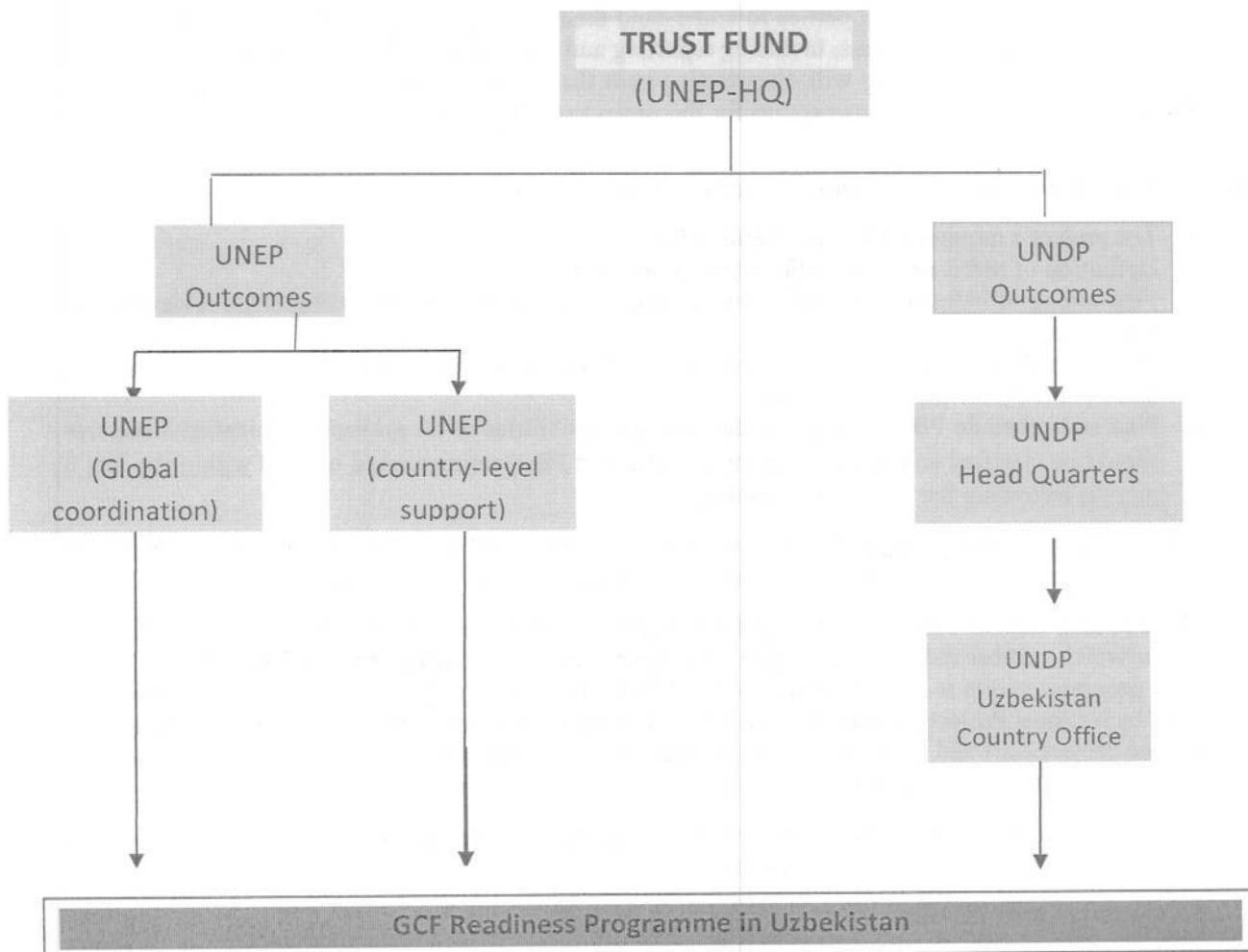
The Uzhydromet will provide office premises for the project team as well as telephone communication lines, and the required expertise and services of their corresponding staff. Local transport to demo sites, support of their relevant subdivisions and staff, and ensuring required access to relevant units will also be covered. This is considered as in-kind contribution to the project implementation to be provided by the Government of Uzbekistan. The Ministry of Economy, Ministry of Finance, State Committee for Nature Protection, Ministry of Agriculture and Water Resources, Fund for Reconstruction and Development of Uzbekistan, national banks, central and regional municipal authorities will contribute to the project by making their personnel/staff and expertise available as and when required, as well as by participating in relevant expert, seminars, workshops or management meetings and/or providing meeting/teaching venues as and when required. Beyond workshops, seminars and sub-contractual arrangements for the provision of relevant technical expertise the NGOs will be actively engaged during the project implementation to provide essential feedback and guidance to the project so that it delivers on committed results in a way that is best fitted to local circumstances.

Use of institutional logos on project deliverables: In order to accord proper acknowledgement to UNDP and UNEP for providing funding, UNDP and UNEP logos will appear on all relevant project publications, including, among others, project hardware, according to previously agreed branding guidelines with BMUB. Any citation on publications regarding this project will also accord proper acknowledgment to UNDP and UNEP.

Fund Flow Modality

The Government of Germany through the Federal Ministry of Environment, Nature Conservation, Building and Nuclear Safety (BMUB) has provided funds for three years for a larger programme to build climate finance readiness in nine countries, including Uzbekistan. Figure below represents the fund flow mechanism for the programme as a whole, within which there is a partnership project in each of the countries. Within Uzbekistan, the funds for which UNDP has responsibility are presented as the total budget with corresponding work plans in this document. BMUB will transfer the funds to the UNEP Trust Fund. From the Trust Fund, the UNDP Uzbekistan project funds will be transferred to UNDP HQ in terms of the UN agency to UN agency contribution agreement between UNEP and UNDP, from where the funds will be made available to the national project in Uzbekistan. UNDP will disburse the funds upon receiving cash from UNEP as per the agreed work plans to a dedicated project account managed by UNDP CO and project team as per NIM modality (Figure 1).

Figure 1 Fund Flow Process



Approximately, US \$1,589,458 will be allocated for the Uzbekistan GCF Readiness programme for joint implementation of the partnership project by UNDP and UNEP. The total for UNDP activities is US \$1,372,458 and the total for UNEP activities is US \$217,000 (see UNEP-led activities and budget in **Annex 7**).

V. MONITORING FRAMEWORK AND EVALUATION

Project monitoring and evaluation (M&E) will be in accordance with established UNDP procedures and will be carried out by the Project team and the UNDP Country Office. The Results Framework will define execution indicators for project implementation as well as the respective means of verification. Monitoring and evaluating system for the project will be established based on these indicators and means of verification. It is important to note that the Results Framework, together with the impact indicators and means of verification, will be fine-tuned during project inception phase.

A project **Inception Workshop** will be held within the first 2 months of project start with those with assigned roles in the project organization structure, UNDP country office and where appropriate/ feasible regional technical policy and programme advisors as well as other stakeholders. Inception Workshop will also provide an opportunity for all parties to understand their roles, functions, and responsibilities within the project's implementation process, including reporting and communication lines, and conflict resolution mechanisms. Inception Workshop will discuss also both the UNDP project and the broader partnership project and is crucial to building ownership for the project results and to plan the first year annual work plan.

The Inception Workshop should address a number of key issues including:

- a) The project's monitoring and evaluation plan;
- b) Definition of M&E responsibilities of the project team;
- c) Fine-tuning of indicators, means of verification and assumptions. This will include reviewing the log frame;
- d) First annual work plan of the project on the basis of the log frame matrix with precise and measurable performance indicators
- e) Plan and schedule PB meetings. Roles and responsibilities of all project organization structures should be clarified and meetings planned. The first PB meeting should be held within the first 6 months following the inception workshop.

An **Inception Workshop Report** is a key reference document and must be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

UNDP **Risk Log** (see in Table 2 above) will be regularly updated in intervals of no less than every six months in which critical risks to the project have been identified. **Annual Project Reports**, including quarterly progress reports to be submitted to UNEP for BMUB, will be prepared by the Project Manager, approved by National Project Coordinator and UNDP CO, verified by the Project Board to monitor progress made since project start and in particular for the previous reporting period. These annual reports include, but are not limited to, reporting on the following:

- Progress made toward project objective and project outcomes - each with indicators, baseline data and end-of-project targets (cumulative);
- Project outputs delivered per project Outcome (annual);
- Lessons learned/good practices;
- Annual expenditure reports;
- Reporting on project risk management.

Government authorities, members of the Project Board, and UNDP staff will conduct regular **visits** to project office and sites, if any, based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress.

In terms of financial monitoring, the project team will provide UNDP with **certified periodic financial statements** relating to the status of funds according to the established procedures set out in the Programming and Finance manuals. The Audit, if applicable, will be conducted in accordance with UNDP Financial Regulations and Rules and applicable audit policies on UNDP projects by a legally recognized auditor.

During the last three months, the project team will prepare the **Project Terminal Report**. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

The budgeted Monitoring & Evaluation plan is as follows:

Table 2

Type of M&E activity	Responsible Parties	Budget USD	Time frame
Inception workshop and report	Project team, Uzhydromet, UNDP and UNEP and WRI	8,000	Within first two months of project start up
Quarterly reporting to UNEP for BMUB/Annual Progress Reports	Project team and UNDP CO, UNDP GCF Readiness Programme Manager	Staff time	At the end of each quarter/year
Meetings of the Project Board	Project team, UNDP CO, National Project Coordinator	Staff time	After the inception workshop and thereafter at least once a year
Project Terminal Report	Project team, UNDP CO	Staff time	At least one month before the end of the project
Audits (if applicable)	Project team, UNDP CO	5,000	Yearly or as per procedures applied to UNDP CO
TOTAL indicative COST Excluding UNDP staff and travel expenses		13,000	

Learning and Knowledge Sharing

Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums.

The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects.

Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

VI. TOTAL BUDGET AND WORKPLAN

Award ID:	00091977
Project ID:	00096908 (PIMS 5789)
Business unit	UZB10
Project title:	Green Climate Fund (GCF) Readiness Programme in Uzbekistan
Implementing partner	Hydrometeorological Services under the Cabinet of Ministers of the Republic of Uzbekistan (Uzhydromet)

Project Output/Atlas Activity	Responsible party/ National Counterpart	Donor name	Fund	Donor	Account	Atlas Budget description	Total (USD)	2016	Budget Notes
OUTPUT 1: Capacities of stakeholders in Uzbekistan to plan for, access, manage, and monitor climate change finance at the national and sub-national levels developed									
ACTIVITY RESULT 1: Awareness and understanding on GCF and its priorities and processes raised, and coordination of climate finance strengthened at national level									
Action 1.1: Provide information and advice to government focal institutions on climate finance, regarding the requirements for direct access to funds of GCF	Uzhydromet (002031)	UNEP	62040	00041	71600	Travel	10,000	10,000	1
					72100	Contr. Service – Comp.	20,000	20,000	2
					71300	Local Consultants	25,500	25,500	3
					71200	International Consult.	15,000	15,000	4
					74200	Audio/video and printings	10,300	10,300	5
					74500	Miscellaneous	1,857	1,857	6
					74598	DPC	3,506	3,506	7
						Sub-Total Action 1.1	86,163	86,163	
					71200	International Consult.	20,000	20,000	8
					71300	Local Consultants	33,450	33,450	9
					72100	Contr. Service – Comp.	25,000	25,000	10
					71600	Travel	20,350	20,350	11
					74200	Audio/video and printings	19,869	19,869	12
					74500	Miscellaneous	5,360	5,360	13
					74598	DPC	5,231	5,231	14
						Sub-Total Action 1.2	129,260	129,260	
						Sub Total Activity Result 1	215,423	215,423	
ACTIVITY RESULT 2: National capacities to develop a pipeline of climate projects and attract investment built									

Action 2.1: Support Uzbekistan's stakeholders in assessing the existing pipeline and development of procedures to scale up potential proposals (mitigation and adaptation) seeking climate finance, especially those seeking GCF support	Uzhydromet (002031)	UNEP	62040	00041	72100	Contr. Service – Comp.	20,000	20,000	15
					71200	International Consult.	30,000	30,000	16
					71300	Local Consultants	43,380	43,380	17
					74200	Audio/video and printings	14,000	14,000	18
					74500	Miscellaneous	2,016	2,016	19
					74598	DPC	4,565	4,565	20
						Sub-Total Action 2.1	113,961	113,961	
					72100	Contr. Service – Comp.	23,296	23,296	21
					71200	International Consult.	62,000	62,000	22
Action 2.2: Build capacity of key institutions and actors involved in developing and sustaining a project and programme pipeline	Uzhydromet (002031)	UNEP	62040	00041	71300	Local Consultants	55,000	55,000	23
					71400	Contr. Service – Individ.	18,000	18,000	24
					71600	Travel	14,665	14,665	25
					74200	Audio/video and printings	3,000	3,000	26
					74500	Miscellaneous	6,145	6,145	27
					74598	DPC	6,839	6,839	28
						Sub-Total Action 2.2	188,945	188,945	
						Sub Total Activity Result 2	302,906	302,906	
					ACTIVITY RESULT 3: Investment frameworks for adaptation and mitigation detailing financial needs to address climate change developed, and sources of funding identified				
Action 3.1: Assess climate change-related priorities and associated financing required to address/implement those priorities, and identify potential sources of funding - international, national, private and public - and current barriers to investments	Uzhydromet (002031)	UNEP	62040	00041	72100	Contr. Service – Comp.	50,000	50,000	29
					71200	International Consult.	134,500	134,500	30
					71300	Local Consultants	120,000	120,000	31
					71600	Travel	46,000	46,000	32
					74200	Audio/video and printings	15,400	15,400	33
					74500	Miscellaneous	6,480	6,480	34
					74598	DPC	15,516	15,516	35
						Sub-Total Action 3.1	387,896	387,896	
						Sub Total Activity Result 3	387,896	387,896	
ACTIVITY RESULT 4: Uzbekistan's LFIs, including national, sub-national, and private sector institutions, are able to effectively identify and evaluate proposals for climate finance from national stakeholders seeking funding									
Action 4.1: Train LFIs to identify, assess and structure financing plans for climate-relevant investment opportunities in the public and private sectors	Uzhydromet (002031)	UNEP	62040	00041	72100	Contr. Service – Comp.	15,000	15,000	36
					71200	International Consult.	25,000	25,000	37
					71300	Local Consultants	28,000	28,000	38
					71600	Travel	10,000	10,000	39
					74200	Audio/video and printings	6,350	6,350	40

					64398	DPC	7,532	7,532	65
						Sub-Total Project Management	145,632	145,632	
							1,247,689	1,247,689	
							124,769	124,769	
							1,372,458	1,372,458	
TOTAL Project Implementation Costs									
GMS (10%)									
GRAND TOTAL									

Budget Notes:

1. Travel associated with meeting government focal institutions in regions to provide information/advice on climate finance requirements of GCF; and establishing online platform
2. Costs of contracting event management/travel companies to conduct meetings/3 workshops for government institutions on GCF requirements; and coordination mechanism
3. Hiring national experts to undertake training needs assessment of local/sub-national/national government institutions on GCF requirements; and coordination mechanism; and development and operation of online platform
4. Hiring international consultants to design and conduct 3 trainings: on GCF requirements and funding consideration for projects and programmes; development of 3 knowledge products to post on online platform
5. Cost of printing knowledge products and handouts, etc.
6. Miscellaneous related to awareness raising and coordination activities
7. DPC for Action 1.1. on awareness raising and coordination activities based on LoA signed between Gov. and UNDP re direct project support and UNDP global and local price list
8. Hiring international consultant to identify potential NDA (mandates, capacities) against NDA functions
9. Hiring national experts to conduct 3 rounds of national consultation on DNA selection; and develop required procedures/documents to enable effective execution of NDA role for Uzbekistan
10. Travel associated with conducting national consultations on DNA selection
11. Costs of contracting event management/travel companies to conduct 3 rounds of national consultation on DNA selection
12. Cost of printing knowledge products, handouts, documentation, etc.
13. Miscellaneous related to DNA selection activities
14. DPC for Action 1.2 on to DNA selection activities based on LoA signed between Gov. and UNDP re direct project support and UNDP global and local price list
15. Costs of contracting companies to conduct workshops/trainings/round tables
16. Hiring international consultants to develop requirements for projects and programmes to be eligible for climate finance, especially for those seeking GCF finance, and assesses linkages of potential programmes/projects to existing and planned national policies (PIP) and sectoral strategies (LEDS) and evaluates them against GCF investment criteria
17. Hiring national experts to review existing pipeline and lessons learned so far (GEF, CDM, AF) and analyze potential to scale up efforts in priority sectors
18. Cost of printing knowledge products, handouts, documentation, etc.
19. Miscellaneous related to GCF pipeline development
20. DPC for Action 2.1 on GCF pipeline development based on LoA signed between Gov. and UNDP re direct project support and UNDP global and local price list
21. Costs of contracting companies to conduct 2 series of workshops and trainings to facilitate pipeline of projects and programmes by key private and public stakeholders
22. Hiring international consultants to develop and conduct 2 series of workshops and trainings aimed at facilitation of pipeline of projects and programmes development by key private and public stakeholders; and develop business plan and/or financial structuring as part of projects and programmes included into pipeline
23. Hiring national experts to strengthen coordination and information flow between the ministries and agencies involved in domestic mitigation and adaptation
24. Hiring National Technical Advisor (NTA), responsible for all technical (substantive) aspects of the project
25. Travel associated with conducting workshops and trainings to develop GCF project pipeline
26. Cost of printing knowledge products, handouts, documentation, etc.
27. Miscellaneous related to mitigation and adaptation coordination
28. DPC for Action 2.2 on mitigation and adaptation coordination/pipeline development based on LoA signed between Gov. and UNDP re direct project support and UNDP global and local price list
29. Costs of contracting companies to conduct round-table discussions/workshops/meetings at national and sub-national level for assessment of climate change-related priorities and associated financing required, and identifying potential sources of funding - international, national, private and public - and current barriers to investments
30. Hiring international consultants to conduct pre-feasibility assessments for adaptation/mitigation priorities identified, and cost-benefit analysis of adaptation/mitigation options identified

31. Hiring national experts to identify climate change risks and adaptation priority areas for investments in agriculture, and climate change risks and mitigation priority areas for investments in energy sector, including buildings; and conduct mapping of LEDS investment plan to identify areas for operationalization; to prioritize actions for short and long-term investment; and identify gaps in sectors or barriers for adequate financing
32. Travel associated with conducting round-table discussions/workshops/meetings at national and sub-national levels
33. Cost of printing knowledge products, handouts, documentation, etc.
34. Miscellaneous related to assessment climate change-related priorities and associated financing required, and identifying potential sources of funding - international, national, private and public - and current barriers to investments
35. DPC for Action 3.1 on potential sources of funding - international, national, private and public based on LoA signed between Gov. and UNDP re direct project support and UNDP global and local price list
36. Costs of contracting companies to conduct a workshop and training on climate-relevant investments for LFIs
37. Hiring international consultant to conduct a workshop and training on climate-relevant investments
38. Hiring national experts to conduct raining needs assessment for LFIs to identify, assess and structure financing plans for climate-relevant investment opportunities in the public and private sectors
39. Travel associated with conducting a workshop and training on climate-relevant investments for LFIs
40. Cost of printing knowledge products, handouts, documentation, etc.
41. Miscellaneous related to awareness raising for LFIs on general climate change finance issues
42. DPC for Action 4.1 on awareness raising for LFIs on general climate change finance issues based on LoA signed between Gov. and UNDP re direct project support and UNDP global and local price list
43. Costs of contracting companies to conduct CB trainings/workshops for LFIs
44. Hiring international consultant to conduct trainings/workshops for LFIs with participation of experienced stakeholders including MoE, MoF, and UFRD, to understand, assess and compare levels of risk and potential returns of various types of investments, including via cost-benefit analysis; and strengthen LFI skills related to project financing structures and modeling in mitigation and adaptation sectors; and train experts of LFIs on the criteria for evaluating climate change projects
45. Hiring national experts to conduct training needs assessment for LFIs to evaluate levels of risk and potential returns of various types of investments
46. Travel associated with conducting CB trainings/workshops for LFIs
47. Cost of printing knowledge products, handouts, documentation, etc.
48. Miscellaneous related to support LFIs in developing and financing climate-relevant investments across sectors
49. DPC for Action 4.2 on supporting LFIs in developing and financing climate-relevant investments across sectors based on LoA signed between Gov. and UNDP re direct project support and UNDP global and local price list
50. Costs of contracting companies to conduct Project Inception Workshop, and audit in accordance with UNDP Financial Regulations and Rules and applicable audit policies on UNDP projects
51. Hiring national expert to conduct situation analysis update to contribute to development of Inception Report
52. Travel associated with adaptive management needs
53. Cost of printing knowledge products, handouts, documentation, etc.
54. Miscellaneous related to conducting Project Inception Phase and development of Inception Report
55. DPC for Action 5.1 on Project Inception Phase based on LoA signed between Gov. and UNDP re direct project support and UNDP global and local price list
56. Travel associated with M&E field visits
57. Cost of reporting to donor, etc.
58. DPC for Action 5.2 on monitoring project outputs and outcomes and codifying lessons learned based on LoA signed between Gov. and UNDP re direct project support and UNDP global and local price list
59. GMS
60. Travel associated with project management activities
61. Contracting project management and support staff
62. Purchase of office and IT equipment
63. Costs of communication access to internet and cell phones
64. Cost of office supplies and disposables
65. DPC for project management activity based on LoA signed between Gov. and UNDP re direct project support and UNDP global and local price list

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 Implementing Partner and its personnel and property, and of UNDP's property in the executing agency's custody, rests with the executing agency.

The Implementing Partner 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 Implementing Partner'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 Implementing Partner 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.

The Audit will be conducted in accordance with UNDP Financial Regulations and Rules, and applicable audit policies on UNDP projects.

VIII. ANNEXES

ANNEX 1 PROJECT COMPONENTS, EXPECTED OUTPUTS AND ACTIVITY RESULTS AND CORRESPONDING BUDGET DISTRIBUTION

PROJECT COMPONENTS	EXPECTED OUTPUTS OF ACTIONS	EXPECTED ACTIVITY RESULTS	AGENCY/AMOUNT (US\$)
<p>1. Awareness and understanding at the national level on the GCF and its processes, and priorities and coordination on climate finance</p>	<p>1.1. Provide information and advice to the government focal institutions on climate finance, regarding the requirements for direct access to funds of the GCF (US\$86,163)</p> <p>1.2. Support the government focal institutions in consulting and identifying a National Designated Authority (NDA) (US\$129,260)</p> <p>1.3. Support Uzbekistan in identification, assessment and strengthening a national institution to directly access climate finance from the GCF (NIE) (US\$217,000)</p>	<p>1. Awareness and understanding on GCF and its priorities and processes raised, and coordination of climate finance strengthened at national level</p>	<p>UNDP: 215,423</p> <p>UNEP: 217,000</p>
<p align="right">Sub-total: 432,423</p>			<p>UNDP: 302,906</p>
<p>2. Capacities to develop a pipeline of bankable climate projects to access climate finance</p>	<p>2.1. Support Uzbekistan's stakeholders in assessing the existing pipeline and development of procedures to scale up potential proposals (mitigation and adaptation) seeking climate finance, especially those seeking GCF support (US\$113,961)</p> <p>2.2. Build capacity of key institutions and actors involved in developing and sustaining a project and programme pipeline (US\$188,945)</p>	<p>2. National capacities to develop a pipeline of climate projects and attract investment built</p>	<p>Sub-total: 284,906</p>
<p>3. Investment frameworks for adaptation and mitigation detailing financial needs to address climate change, and sources of funding</p>	<p>3.1. Assess climate change-related priorities and associated financing required to address/implement those priorities, and identify potential sources of funding - international, national, private and public - and current barriers to investments (US\$387,896)</p>	<p>3. Investment frameworks for adaptation and mitigation detailing financial needs to address climate change developed, and sources of funding identified</p>	<p>UNDP: 387,896</p>

PROJECT COMPONENTS	EXPECTED OUTPUTS OF ACTIONS	EXPECTED ACTIVITY RESULTS	AGENCY/AMOUNT (US\$)
4. Training of Uzbekistan LFI, including national, subnational, and private sector institutions, to effectively identify and evaluate proposals for climate finance from national stakeholders seeking funding	4.1. Train LFIs to identify, assess and structure financing plans for climate-relevant investment opportunities in the public and private sectors (US\$91,416)	4. Uzbekistan LFIs, including national, subnational, and private sector institutions, are able to effectively identify and evaluate proposals for climate finance from national stakeholders seeking funding	Sub-total: 387,896
	4.2. Support financial institutions in public and private sectors in Uzbekistan in effective coordination between national stakeholders to facilitate the process of developing and financing climate-relevant investments across sectors (US\$91,416)		UNDP: 182,832
UNDP Programmable Costs (Components 1-4), including National Technical Advisor (SC-8)			Sub-total: 182,832
UNEP Programmable Costs (Component 1)			1,089,057
Total Programming Costs UNEP and UNDP (Components 1-4)			217,000
Component 5: Project Management			1,306,057
Project Team: Project Manager (SC-9), Administrative and Finance Assistant (SC-6), Driver (with private car of car transferred from completed project) (SC-2)			145,632
Monitoring and Evaluation (see Section 5, Table 2)			13,000
Sub-total for Project Management:			158,632
UNDP Sub-total (Components 1-5)			1,247,689
UNDP GMS (10%)			124,769
UNDP Total			1,372,458
GRAND TOTAL			1,589,458

ANNEX 2 MAJOR CLIMATE CHANGE (MITIGATION AND ADAPTATION) RELATED PROJECTS AND PROGRAMMES IMPLEMENTED IN UZBEKISTAN

Project Title	Brief Description of Project Outcomes
<p>1. UNDP project “Clean energy for Rural Communities in Karakalpakstan, Phases I and II” with the total project budget of \$430,549 and duration of 2003-2007</p>	<p>This project supported the adaptation of renewable (solar) energy technology to the needs of rural households that do not have any access to energy services, as grid infrastructure is not available in isolated remote areas. The project also contributed to raising awareness among decision makers on advantages of renewable energy resources utilization.</p>
<p>2. UNDP project “Transfer of Technology for Local Production of Solar Panels for Water Heating” with the total project budget of \$430,549 and duration of 2003-2005</p>	<p>This project supported the transfer of Danish technology for local production of solar panels for water heating to Uzbekistan. The project also contributed to raising awareness among decision makers on advantages of renewable energy resources utilization.</p>
<p>3. UNDP project “Assistance in the Development of Biogas Technologies in Uzbekistan” with the total project budget of \$195,000 and duration of 2006-2008</p>	<p>Project contributed to achieving the greater productivity and increasing income of the farmers through increased access to the energy services farming based on utilization of the renewable energy technologies. The direct project outputs were installation, commissioning and operation of a large-sized pilot biogas plant at the livestock farm as well as an initial monitoring of the biogas plant’s operation and maintenance in generation the thermal and electric power and producing biofertilizers. Furthermore, existence of the only operating biogas plant in the country has become a showroom for the biogas technology’s applications/benefits for Uzbek farmers and rural households as well as for the representatives of all stakeholders that facilitates wide utilization of biogas in the country.</p>
<p>4. UNDP project “Improving Power and Heat Supply in Rural Health Clinics of Uzbekistan” (Phase I) and “Pilotting Energy Efficient and Renewable Energy Solutions in Rural Health Clinics in Uzbekistan” (Phase II) with the total project budget of \$253,519 and duration of 2007-2009</p>	<p>Feasibility Study Report with solutions to improve power and heat supply in rural health clinics developed and solutions identified and selected to improve power and energy efficiency and reliability in the five selected rural health clinics prove that problems can be solved with use of different technical equipment adjusted to the needs and peculiarities of each rural health clinic as well as to medical equipment. Elaborated technical solutions that improve power and heat supply reliability in RHCs with use of various EE and RE equipment adjusted to the needs and peculiarities of rural health clinics piloted and demonstrates.</p>

<p>5. UNDP project “Capacity Building for Clean Development Mechanism in Uzbekistan” with the total project budget of \$259,300 and duration of 2007-2010</p>	<p>Public and private sector capacities to access carbon finance in Uzbekistan is strengthened through creating legal and institutional framework for carbon finance, building in country capacities for identification and implementation of projects eligible for CDM and other carbon mechanisms, establishing DNA and developing programmatic CDM projects in Uzbekistan.</p>
<p>6. UNDP/GEF project “Achieving Ecosystem Stability on Degraded Land in Karakalpakstan and the Kyzylkum Desert” with the total project budget of \$2,787,000 and duration of 2008-2013</p>	<p>The UNDP/GEF was directed to improve the desert and semi-desert ecosystems by testing and planting local varieties and sand stabilization and soil desalinization did not consider climate change scenarios and wind models.</p>
<p>7. UNDP Project “Integrated Water Management and Water Efficiency Plan for Zarafshan River Basin” with the total project budget \$1,205,451 and duration of 2010-2015</p>	<p>The project objective is to develop a National Integrated Water Resources Management and Water Use Efficiency Plan for Zarafshan River Basin of Uzbekistan, to strengthen the legal and regulatory framework for the water sector, and to support the integration of water management issues into relevant inter-sectoral policy frameworks.</p>
<p>8. UNDP/GEF/WHO Global Project (Barbados, Fiji, Uzbekistan, Jordan, Bhutan, Kenya, China) “Piloting climate change adaptation to protect human health” with the total project budget \$21,159,000 and duration of 2010-2014</p>	<p>The objective of this first global project on public health adaptation to climate change is to “increase adaptive capacity of national health system institutions, including field practitioners, to respond to climate-sensitive health risks”. The project outcomes contributed to the broader goal of ensuring that “health sectors are able to manage health risks driven by climate change, including variability”. It was innovative, in that it will be the first project to work specifically on planning, implementing and monitoring adaptation measures to protect human health from climate change, at the global level, across developing countries.</p>
<p>9. UNDP project “Climate Risk Management in Uzbekistan” with the total project budget \$800,000 and duration of 2011-2015</p>	<p>Project promoted reduction of climate-related disasters and adaptation to climate change in Uzbekistan and to integrate climate risk management into Uzbekistan core development policy and strategies and demonstrated this at pilot Kashakadarya province in Uzbekistan.</p>
<p>10. UNDP/GEF project “Promoting Energy Efficiency in Public Buildings in Uzbekistan” with the total project budget \$3,638,532 and duration of 2009-2015</p>	<p>The project aimed at reducing energy consumption and associated greenhouse gas emissions in public buildings in Uzbekistan, particularly in the healthcare and educational sectors, by improving building norms and standards, demonstrating integrated building design approaches, and developing the capacity of local specialists in design, construction, and maintenance. Project’s goal promoted energy efficiency of on-going and future state-funded construction and renovation programmes in Uzbekistan by revising building norms and standards, building capacity of relevant government authorities and energy managers, and showcasing integrated building design approach through demonstration projects.</p>

<p>11. UNDP project “Supporting Uzbekistan in Transition to Low-Emission Path” with the total project budget \$1,040,904 and duration of 2011-2015</p>	<p>The project has assisted in developing the capacity to formulate and mobilize finance for and implement low-emission development strategies, offering support in fulfilling commitments under the UNFCCC to enable the country to make informed policy and investment decisions that reduce GHG emissions, reduce poverty, create new employment opportunities and move the country towards long-term sustainability. Developed concept on Low-Emission Development Strategies (LEDS) could be operationalized and implemented through Nationally Appropriate Mitigation Actions (NAMAs) as international initiatives that help developing countries to deal with the challenges of climate change.</p>
<p>12. UNDP-GEF Small Grants Programme with the total project budget \$1,095,048 and duration of 2008-2018</p>	<p>The goal of the SGP is to promote the improvement of global natural environment via implementation, by means of local people, of local initiatives designated to preserve and restore the environment by implementing and replicating sustainable natural resources management practices that improve people’s livelihoods.</p>

ANNEX 3 LIST OF STAKEHOLDERS CONSULTED

Organization	Name	Position
Legislative Chamber of Oliy Majlis (Parliament)	Ms. Dilorom Fayzieva	Member of the Legislative Chamber, Member of The parliament Committee on International Affairs and Inter-Parliament Relations
	Mr. Kabul Nasirov	Member of the Legislative Chamber, Member of The parliament Committee on International Affairs and Inter-Parliament Relations
Centre of Hydro-meteorological Services under the Cabinet of Ministers of the Republic of Uzbekistan	Mr. Viktor Chub	General Director, UNFCCC Focal Point for Uzbekistan, AF GDNA
	Ms. Raisa Taryannikova	Head of the Department for Transboundary Monitoring of Environmental Pollution
State Committee for Nature Protection	Mr. Nodir Yunusov	Head of Unit on International Relations and Programs
	Mr. D. Kirgizov	Head of Unit on Agriculture and Water Resources Development
Ministry of Economy		
Ministry of Agriculture and Water Resources	Mr. Khasan Mamarasulov	Deputy Head of Department on Coordination and Development of Market of Rural Infrastructure
	Mr. Zied Mirakhmedov	Director of Department on Coordination, Monitoring and Control of Targeted Use of Humanitarian Aid and Technical Assistance Grants
Ministry of Finance	Ms. Antonina Kucherova	Chief Economist of Financial Department of Agriculture and Industries Complex
Health Ministry	Ms. Tatiana Lee	Head of Department of Information System “Environment and Health of Population”
	Mr. Mumin Turaev	3rd Secretary
Ministry of Foreign Affairs	Mr. Aziz Khakberdiev	Leading Expert of Business Development Unit
Chamber of Commerce and Industries of Uzbekistan	Ms. Magprat Muminova	Head of Service on Environment Protection
	Ms. Rakhima Artykova	Head of Unit on Professional Trainings
Ecological Movement of Uzbekistan	Ms. Anastasia Saidmakhmudova	Head of Unit on International Cooperation
	Mr. Shukhrat Vafaev	Deputy Executive Director
Fund for Reconstruction and Development of Uzbekistan		
National University of Uzbekistan	Mr. Azamat Azizov	Head of Department on Applied Environment
	Mr. Fazliddin Khikmatov	Prof. of Geographical Department
	Mr. Bakhtier Khalmadjonov	Associate Professor

Association of Enterprises of Alternative Energies and Fuels	Mr. Askar Sarymsakkhodjaev	First Deputy of Chairman
National Association of NGOs	Mr. Khusnutdin Usmanov	Deputy of Chairman
Charity Fund on Saving of Gene Pool in Aral Region	Mr. Serik Tastianbekov	Expert
National and Regional Funds on Nature Protection	Mr. Alisher Sheraliev	Chief Accountant
International Fund for Aral Sea Saving	Mr. Ergash Dilyafuz	Chief Expert
Association of Banks in Uzbekistan	Mr. Shukhrat Tolipov	Chairman from Uzbekistan in IFAS Secretariat
	Mr. Sherzod Nasrullaev	Chief Expert of Nationla Bank of Uzbekistan
	Mr. Farkhod Kurbanov	Deputy Head of Department, IPOTEKA Bank
	Ms. Afize Ametova	Head of Unit, Qishlok Qurilish Bank
GIZ	Mr. Torsten Brezina	Country Director, Head of GIZ Programmes in Uzbekistan
German Embassy	Mr. Torsten Gohler	Deputy Head of Missson

PROJECT BOARD

Composition and organization: The Project Board contains three roles, including (1) **an executive**: individual representing the project ownership to chair the group; (2) **senior supplier**: individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project; and (3) **senior beneficiary**: individual or group of individuals representing the interests of those who will ultimately benefit from the project.

I. Specific responsibilities

1. Initiating a project:

- Agree on PM’s responsibilities, as well as the responsibilities of the other members of the Project Management team;
- Delegate any Project Assurance function as appropriate;
- Review and appraise detailed Project Plan and AWP, including Atlas reports covering activity definition, quality criteria, issue log, updated risk log and the monitoring and communication plan.

2. Running a project:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the Project Manager;
- Provide guidance and agree on possible countermeasures/management actions to address specific risks;
- Agree on Project Manager’s tolerances in the Annual Work Plan and quarterly plans when required;
- Conduct regular meetings to review the progress in project implementation and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.
- Appraise the Project Annual Review Report, make recommendations for the next AWP, and inform the Outcome Board about the results of the review.
- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner;
- Review and approve end project report, make recommendations for follow-on actions;
- Provide ad-hoc direction and advice for exception situations when Project Manager’s tolerances are exceeded;
- Assess and decide on project changes through revisions;

3. Closing a project:

- Assure that all Project deliverables have been produced satisfactorily;
- Review and approve the Terminal Project Report, including Lessons-learned;
- Make recommendations for follow-on actions to be submitted to the Outcome Board;
- Commission project evaluation (only when required by partnership agreement)
- Notify operational completion of the project to the Outcome Board.

II. Executive

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive’s role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher-level outcomes. The Executive has to ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier. Specific Responsibilities (as part of the above responsibilities for the Project Board) include:

- Ensure that there is a coherent project organization structure and logical set of plans
- Set tolerances in the AWP and other plans as required for the Project Manager

- Monitor and control the progress of the project at a strategic level
- Ensure that risks are being tracked and mitigated as effectively as possible
- Brief Outcome Board and relevant stakeholders about project progress
- Organize and chair Project Board meetings

III. Senior Beneficiary

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. This role represents the interests of all those who will benefit from the project, or those for whom the deliverables resulting from activities will achieve specific output targets. The Senior Beneficiary role monitors progress against targets and quality criteria. Specific Responsibilities (as part of the above responsibilities for the Project Board) include:

- Ensure the expected output(s) and related activities of the project are well defined
- Make sure that progress towards the outputs required by the beneficiaries remains consistent from the beneficiary perspective
- Promote and maintain focus on the expected project output(s)
- Prioritize and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Resolve priority conflicts

The assurance responsibilities of the Senior Beneficiary are to check that:

- Specification of the Beneficiary's needs is accurate, complete and unambiguous
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target
- Impact of potential changes is evaluated from the beneficiary point of view
- Risks to the beneficiaries are frequently monitored

IV. Senior Supplier

The Senior Supplier represents the interests of the parties, which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. Specific Responsibilities (as part of the above responsibilities for the Project Board) include:

- Make sure that progress towards the outputs remains consistent from the supplier perspective
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management
- Ensure that the supplier resources required for the project are made available
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts

The supplier assurance role responsibilities are to:

- Advise on the selection of strategy, design and methods to carry out project activities
- Ensure that any standards defined for the project are met and used to good effect
- Monitor potential changes and their impact on the quality of deliverables from a supplier perspective
- Monitor any risks in the implementation aspects of the project

NATIONAL PROJECT COORDINATOR – EXECUTIVE

The National Project Coordinator (NPC)/Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher-level outcomes. The Executive has to ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organization structure and logical set of plans
- Approve and sign basic project and financial documents and other plans as required for the Project Manager
- Monitor and control the progress of the project at a strategic level, submit the required periodic progress reports, approved by the Government and UNDP, to UNEP for BMUB;
- Ensure that risks are being tracked and mitigated as effectively as possible
- Brief Outcome Board and relevant stakeholders about project progress
- Organize and chair Project Board meetings

The Executive is responsible for overall assurance of the project. If the project warrants it, the Executive may delegate some responsibility for the project assurance functions.

The following documents shall be signed by the NPC:

1. **Administrative and financial documents:**
 - Project revisions (if the project total budget or duration of the project is being changed)
 - Combined Delivery Reports
 - Transfer of Assets Form
 - Delegation of signature for some day-to-day payments
2. **Monitoring and evaluation of the project**
 - Minutes of the Project Board meetings
 - Annual reports
 - Final review report

1. Project Manager

I. Position Information	
Position Title:	Project Manager
SC range:	SC-9
Project Title/Department:	Green Climate Fund (GCF) Readiness Programme in Uzbekistan
Duration of the service:	6 months (with possible extension subject to satisfactory performance)
Work status	Full-time
Reports To:	Head of Environment and Energy Unit
II. Background	
Under the supervision of Head of Environment and Energy Unit, UNDP CO, Project Manager manages the project implementation, and is responsible for the following specific functions.	
III. Functions / Key Outputs Expected	
<ul style="list-style-type: none"> • Responsible for day-to-day management, administration and decision-making for the project; • Oversees strategic planning process for the project and ensures its implementation in accordance with the signed project document; • Responsible for ensuring that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost; • Manage the realization of project outputs through activities; • Ensures that project contributes to the promotion of gender equality by reaching, involving and benefiting both women and men in its activities (gender mainstreaming); • Provide direction and guidance to project team(s)/ responsible party (ies); • Identifies partnership strategies with regard to providers of specialized expertise and possible co-financiers, and leads resource mobilization for project components; • Identify and obtain any support and advice required for the management, planning and control of the project; • Liaise with any suppliers; • Mainstream gender issues in the project activities; • May also perform Team Manager and Project Support roles; • To ensure overall coordination and coherence of UNDP and UNEP-led activities, the PM will also facilitate implementation of UNEP-led activities, including facilitating missions of UNEP staff and experts, support in organizing in-country events, liaising with national stakeholders; • Respond to global strategic guidance from UNDP and UNEP Global Programme Managers and keep them abreast of the project's developments and progress when requested; • Perform other duties related to the scope of work of the PM as required <p>Running a project</p> <ul style="list-style-type: none"> • Plan the activities of the project and monitor progress against the initial quality criteria; • Mobilize goods and services to initiative activities, including drafting TORs and work specifications; • Manage requests for the provision of financial resources by UNDP, using advance of funds, direct payments, or reimbursement using the IPSAS; • Manage and monitor the project risks as initially identified in the Project Document, submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the Project Risks Log; • Be responsible for managing issues and requests for change by maintaining an Issues Log; • Prepare the Quarterly Project Report (progress against planned activities, update on Risks and Issues) and submit the reports to the Project Assurance team; • Prepare bi-annual progress and expenditure reports per the donor's requirements, as requested by the UNDP Global Programme Manager in HQ 	

- Prepare the Annual Review Report and submit reports to the Project Assurance team; based on the ARR, prepare the Annual Work Plan (AWP) and Annual Plan of Activities and Procurement Plan for the project years;
- Monitors the implementation of project components, analyses problems that hamper their implementation and takes appropriate measures to ensure timely delivery of required inputs and achievement of project-wide results;
- Monitor financial resources and accounting to ensure accuracy and reliability of financial reports, including proper utilization of funds and delivery, budget revisions, availability of funds, reconciliation of accounts, establishment of internal control mechanisms. Acts as a focal point to liaise with auditors and ensures follow-up actions. Ensures the accuracy and reliability of financial information and reporting;
- Sign annual CDRs with UNDP and the Implementing Partner national agency;
- Monitors and facilitates advocacy and mass media outreach activities, writing of success stories, newspapers coverage, PR campaigns;
- Organize workshops, seminars and round tables to introduce project outputs to all stakeholders involved. Render support to related UNDP thematic activities such as publications, sharing of knowledge and group discussions;
- Liaises with other UNDP and other GCF Readiness projects to implement possible synergies and reports to UNDP Programme Officer and NPC on conducted activities;
- Undertake resource mobilization activities to be built on the project achievement that contribute to project scaling-up and replication

Closing a Project

- In cooperation with the UNDP CO and national project experts, develop a suitable project exit strategy during the last year of the project, and present it for approval to UNDP HQ project manager
- Ensure proper operational, financial and programmatic closure of the project;
- Prepare Final Project Review Reports to be submitted to the Project Board;
- Identify follow-on actions and submit them for consideration to the Project Board;
- Manage the transfer of project deliverables, documents, files, equipment and materials to national beneficiaries;
- Prepare final CDR for signature by UNDP and the Implementing Partner.

IV. Competencies

Corporate Competencies:	<ul style="list-style-type: none"> • Demonstrates commitment to UNDP's mission, vision and values; • Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability; • Demonstrating/safeguarding ethics and integrity; • Demonstrate corporate knowledge and sound judgment; • Self-development, initiative-taking; • Acting as a team leader and facilitating team work; • Facilitating and encouraging open communication in the team, communicating effectively; • Creating synergies through self-control; • Managing conflict; • Learning and sharing knowledge and encourage the learning of others; • Informed and transparent decision making
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<p>Functional Competencies:</p>	<p><i>Communications and Networking</i></p> <ul style="list-style-type: none"> • Has excellent oral communication skills and conflict resolution competency to manage inter-group dynamics and mediate conflicting interests of varied actors; • Has excellent written communication skills, with analytic capacity and ability to synthesize project outputs and relevant findings for the preparation of quality project reports; • Maturity and confidence in dealing with senior and high ranking members of national and international institutions, government and non-government. <p><i>Knowledge Management and Learning</i></p> <ul style="list-style-type: none"> • Promotes a knowledge sharing and learning culture in the team through leadership and personal example; • Actively mentoring project staff under her/his supervision; • Leadership and Self-Management; • Focuses on result for the client and responds positively to feedback; • Consistently approaches work with energy and a positive, constructive attitude; • Remains calm, in control and good humored even under pressure; • Competent in leading team and creating team spirit, stimulating team members to produce quality outputs in a timely and transparent fashion. <p><i>Development and Operational Effectiveness</i></p> <ul style="list-style-type: none"> • Ability to organize and complete multiple tasks by establishing priorities; • Ability to handle a large volume of work possibly under time constraints. <p><i>Job Knowledge/Technical Expertise</i></p> <ul style="list-style-type: none"> • Understands the main processes and methods of work regarding to the position • Strives to keep job knowledge up-to-date through self-directed study and other means of learning; • Demonstrates good knowledge of information technology and applies it in work assignments. <p><i>Leadership and Self-Management</i></p> <ul style="list-style-type: none"> • Builds strong relationships with clients, focuses on impact and result for the client and responds positively to feedback; • Consistently approaches work with energy and a positive, constructive attitude; • Demonstrates good oral and written communication skills.
<p>V. Qualifications Requirements</p>	
<p>Education:</p>	<p>Bachelor/Master's degree in the following areas: environment protection and management science, natural resources management, climate change (mitigation and adaptation) related science or environment-relevant business and administration, and economics.</p>

Experience:	At least 3-4 of years of relevant experience. Practical experience in project management. Working experience in international organizations is an advantage.
Language Requirements:	Excellent command of spoken and written English, Uzbek and Russian are essential
Others:	<p>Sound experience in the project management associated with climate change adaptation, environment protection and corresponding sustainable development and corresponding UN conventions and treaties;</p> <p>Knowledge of and experience in gender mainstreaming is an asset;</p> <p>Proven experience in working and collaborating with governments;</p> <p>Initiative and strong leadership skills;</p> <p>Result and client-orientations;</p> <p>Strong analytical, communication, writing, presentation and communication skills;</p> <p>Excellent interpersonal and cross cultural communication skills, ability to work in a team and to work under pressure and with tight deadlines, ethics and honesty;</p> <p>Ability to use information and communication technology as a tool and resource;</p> <p>Willingness to travel as appropriate</p>

2. National Technical Advisor (NTA)

I. Position Information	
Position Title:	National Technical Adviser (NTA)
SC range:	SC-8
Project Title/Department:	Green Climate Fund (GCF) Readiness Programme in Uzbekistan
Duration of the service:	6-months (with possible extension subject to satisfactory performance)
Work status	Full-time
Reports To:	Project Manager
II. Background	
Under the direct supervision of the Project Manager, the National Technical Advisor (NTA) is fully responsible for implementation of the relevant project thematic activities. NTA is a key resource person for the project on all technical (substantive) aspects of project implementation, including climate finance, climate change mitigation and adaptation, fiduciary and investment standards and other subjects, relevant to key outputs of the project.	
III. Functions / Key Outputs Expected	
<u>Thematic tasks</u>	
1) Component 1. Awareness and understanding the GCF and its processes, and priorities and coordination on climate finance at the national level: <ul style="list-style-type: none"> • Provide technical support, information and advice to national partners on climate finance; • Support the Project Manager in enhancing coordination with the potential national stakeholders to institutionalize climate finance; • Contribute thematically into identification potential NDA and its capacity building activities; • Contribute thematic inputs to conducting relevant project events (workshops, round table discussions, trainings, seminars, etc.); • Provide relevant thematic inputs to online information platform and/or a series of knowledge products. 	
2) Component 2. Building capacities to develop a pipeline of climate projects and attract investment:	

- Provide technical support in reviewing the existing pipeline and lessons learned related to GEF, CDM, AF, etc., and identify/justify potential to scale up climate financing (mitigation/adaptation) efforts in priority sectors;
- Support capacity building of key national institutions involved in developing and sustaining a project and programme pipeline, including through providing thematic consulting and advice;
- Contribute thematic inputs to conducting series of workshops/trainings with key stakeholders in public and private sectors to facilitate development of national pipeline of projects and programmes for GCF.

3) Component 3. Investment frameworks for adaptation and mitigation detailing financial needs to address climate change, and sources of funding:

- Lead assessment of climate change-related priorities and associated financing required to address/implement those priorities;
- Contribute to identification of risks and adaptation priorities for climate financing; including prioritization of actions for short and long-term investment, and identification of existing gaps/barriers;
- Overseeing national consultants/partners, and contribute own experience/knowledge into conducting pre-feasibility assessments for adaptation/mitigation priorities and cost-benefit analysis of adaptation/mitigation options identified.

4) Component 4. Training of Uzbekistan Local Financial Institutions (LFIs), including national, subnational, and private sector institutions, to effectively identify and evaluate proposals for climate finance from national stakeholders seeking funding:

- Contribute to raising awareness of local financial institutions on general climate change finance issues through providing inputs to conducting workshops/trainings on climate-relevant investments, and development of particular knowledge products;
- Contribute to capacity building of LFI and strengthening their skills in climate financing modeling in mitigation and adaptation sectors, and training national financial experts evaluating climate change projects;
- Support activities aimed at effective coordination between national stakeholders to facilitate the process of developing and financing climate-relevant investments across sectors.

5) Sub-activity led by UNEP (only if and when required by UNEP): Support Uzbekistan in identification, assessment and strengthening a national institution to directly access climate finance from the GCF (NIE):

- Provide thematic support/advice, if required by UNEP, for mapping of potential NIEs against GCF required functions and accreditation standards;
- Provide thematic advice, if required by UNEP, to conducting relevant workshops, round table discussions, trainings, seminars, etc.;
- Provide thematic inputs into reporting to be submitted to UNEP (BMUB);
- Ensure communication with UNEP on relevant thematic issues; including inputs to preparations for meetings with national partners.

Operational tasks

- Provide thematic support in organization of missions of international experts;
- Provide technical support on documenting the project results, including required evidence;
- Contribute to establishing contacts and cooperation with national organizations and institutions;
- Provide thematic inputs into development of project work plans and reporting;
- Report to the Project Manager on regular basis on achieved results, technical/thematic issues and best solutions;
- Perform other duties upon request from Project Manager

IV. Competencies	
Corporate Competencies:	<ul style="list-style-type: none"> • Demonstrates commitment to UNDP's mission, vision and values; • Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability
Functional Competencies:	<ul style="list-style-type: none"> • Fundamental knowledge of processes, methods and procedures; • Understands the main processes and methods of work regarding to the position;

	<ul style="list-style-type: none"> • Possesses basic knowledge of organizational policies and procedures relating to the position and applies them consistently in work tasks; • Demonstrates good knowledge of information technology and applies it in work assignments; • Presentation of information on best practices in organizational change; • Demonstrates ability to identify problems and proposes solutions
Core Competencies:	<ul style="list-style-type: none"> • Demonstrating/safeguarding ethics and integrity; • Demonstrate corporate knowledge and sound judgment; • Self-development, initiative-taking; • Acting as a team player and facilitating team work; • Facilitating and encouraging open communication in the team, communicating effectively; • Creating synergies through self-control; • Managing conflict; • Learning and sharing knowledge and encourage the learning of others. Promoting learning and knowledge management/sharing is the responsibility of each staff member; • Informed and transparent decision-making.
V. Qualifications Requirements	
Education:	Master's degree in the following areas: climate change (adaptation and mitigation), climate financing, environmental science or related field.
Experience:	At least 10 years of relevant experience. Working experience in international organizations is an asset.
Language Requirements:	Proficiency in in English and Russian are essential. Working level Uzbek language is desirable.
Others:	<p>Sound experience in climate change adaptation and mitigation projects and climate financing as well as UN conventions and treaties;</p> <p>Practical knowledge of vertical funds (GEF, AF, SCCF, GCF, etc.);</p> <p>Knowledge of and expertise in mainstreaming gender in climate financing is an asset;</p> <p>Proven experience in working and collaborating with central and regional government agencies/partners, including banking and private sector; as well as relevant UN Agencies;</p> <p>Initiative and strong leadership skills;</p> <p>Result and client-orientations;</p> <p>Strong analytical, writing, presentation and communication skills;</p> <p>Excellent interpersonal and cross cultural communication skills, ability to work in a team and to work under pressure and with tight deadlines, ethics and honesty;</p> <p>Ability to use information and communication technology as a tool and resource.</p>

3. Administrative and Finance Assistant

I. Position Information	
Position Title:	Administrative and Finance Assistant
SC range:	SC-6
Project Title:	Green Climate Fund (GCF) Readiness Programme in Uzbekistan
Duration of the service:	6-months (with possible extension subject to satisfactory performance)

Work status	Full-time
Reports To:	Project Manager
II. Background	
Under direct supervision of the Project Manager, Administrative and Finance Assistant is fully responsible for operational and administrative support to the project according to the project document, UNDP corporate rules and procedures and for fulfilling the following functions:	
<ul style="list-style-type: none"> • Bear responsibilities for logistics, procurement, finance and recruitment for the project, in accordance with corporate UNDP rules and regulations; • Prepare all financial and administrative documents related to the project implementation; • Develop quarterly and annual budget plans for recruitment of personnel; maintain financial records and monitoring systems to record and reconcile expenditures, balances, payments and other data for day-to-day transaction and reports; • Advise and assist Project staff, experts and consultants on all respects of allowances, salary advances, travel claims and other financial and administrative matters, and calculate and authorize payments due for claims and services; • Prepare detailed cost estimates and participates in budget analysis and projections as required to handle all financial operations of the project office and reconcile all accounts in required time frame; • Maintain, update and transmit inventory records of non-expendable equipment in accordance with UNDP rules; • Perform cash custodian's duties being primarily responsible for project's cash disbursements and maintain project's petty cash book and payrolls related to the regional offices; • Ensure leave monitoring of project staff, check the accuracy and proper completion of monthly leave reports; • Analyze the potential problems concerning administrative-financial issues and take respective measures to provide adequate project's resources in time for implementation of the project activities; • Define the cost-effective measures for optimal use of resources of the project; • Ensure full compliance of administrative and financial processes and financial records with UNDP related rules, regulations, policies and strategies; • Encourage awareness of and promotion of gender equality among project staff and partners; • Perform other duties related to personnel, administrative and financial issues of project as required 	
IV. Competencies	
Corporate Competencies:	<ul style="list-style-type: none"> • Demonstrates commitment to UNDP's mission, vision and values; • Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability
Functional Competencies:	<ul style="list-style-type: none"> • Fundamental knowledge of processes, methods and procedures; • Understands the main processes and methods of work regarding to the position; • Possesses basic knowledge of organizational policies and procedures relating to the position and applies them consistently in work tasks; • Demonstrates good knowledge of information technology and applies it in work assignments; • Presentation of information on best practices in organizational change; • Demonstrates ability to identify problems and proposes solutions
Core Competencies:	<ul style="list-style-type: none"> • Demonstrating/safeguarding ethics and integrity; • Demonstrate corporate knowledge and sound judgment; • Self-development, initiative-taking; • Acting as a team player and facilitating team work; • Facilitating and encouraging open communication in the team, communicating effectively; • Creating synergies through self-control; • Managing conflict; • Learning and sharing knowledge and encourage the learning of others. Promoting learning and knowledge management/sharing is the responsibility of each staff member;

	<ul style="list-style-type: none"> Informed and transparent decision-making.
V. Qualifications Requirements	
Education:	Bachelor degree in any of the following areas: Finance, Economics, Management, Environmental sciences, or any related field.
Experience:	At least 2-3-years relevant experience. Working experience in international organizations is an advantage.
Language Requirements:	Excellent command of spoken and written English, Uzbek and Russian are essential
Others:	<p>Strong financial and administrative skills, result and client-orientation, ability to work in a team;</p> <p>Ability to work under pressure and with tight deadlines, ethics and honesty;</p> <p>Ability to use information and communication technology as a tool and resource;</p> <p>Experience in handling web-based management systems;</p> <p>Ability to handle multiple tasks simultaneously and ability to prioritize</p>

4. Driver

I. Job Information	
Job title	Driver
SC range:	SC-2
Project Title:	Green Climate Fund (GCF) Readiness Programme in Uzbekistan
Duration of the service:	6-months (with possible extension subject to satisfactory performance)
Work status	Full time
Reports To	Project Manager
II. Background	
Under direct supervision of Project Manager, driver is fully responsible for fulfilling the following functions in accordance with UNDP corporate rules and procedures.	
II. Functions / Key Outputs Expected	
<i>Operational Functions:</i>	
<ul style="list-style-type: none"> Drive project vehicle for the transport of authorized personnel; Deliver and collect mail, documents and other items, meet official personnel at the airport and facilitates immigration and custom formalities and make errands for the project as required; Be responsible for the day-to-day maintenance of the assigned vehicle, checks oil, water, battery, brakes, tires, etc.; Perform minor repairs and arranges for another repairs; Ensure that the vehicle is kept clean; log official trips, daily mileage, gas consumption, oil changes, greasing; Ensure that the steps required by rules and regulations are taken in case of involvement in accident; Perform other duties, as required by Project Manager. 	
IV. Qualification Requirements	
Education:	Secondary education
Experience:	At least 5 years of relevant work experience. Working experience with governmental agencies and work in any international organization is an advantage.
Language Requirements:	Proficiency in Uzbek and Russian. Basic knowledge of English is an asset.

ANNEX 7 UNEP-LED ACTIVITIES AND BUDGET

Planned Actions	Method	Expected Results	Indicator	Method of Verification	Timeline (Year 2)												Responsible Party	Resources (Total)	Resources (Year 2)
					Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec			
Action 1.3: Support Uzbekistan in identification, assessment and strengthening a national institution to directly access climate finance from the GCF (NIE)	UNEP conducts mapping of potential NIEs (mandates, capacities) against NIE functions and accreditation standards	One potential NIE (mandates, capacities) against NIE identified for accreditation to the GCF	# of entities identified for accreditation to the GCF	Monitoring of application by national institution for accreditation to the GCF nationally and through GCF website	X	X												24,000	24,000
	UNEP conducts NIE accreditation workshop	One NIE accreditation workshop conducted	# of NIE accreditation workshop conducted	Review of workshop report and analysis of participants' feedback	X	X		X										25,000	25,000
	UNEP facilitates self-assessment in order to identify its current level of capacities as well as any additional capacities that may still be required	One NIEs capacity self-assessments conducted, and capacity development needs identified	# of NIE additional capacities to be developed	Review of NIEs capacity self-assessment reports				X	X	X	X	X							38,000
	UNEP supports NIE to prepare a capacity development strategy to address any	NIEs capacity development strategy to address identified needs and	Yes/No	Adoption of NIE capacity development strategy by the government of Uzbekistan							X	X	X	X	X			55,000	55,000

	<p>identified needs and gaps</p> <p>UNEP provides support to identify relevant expertise to implement the capacity development strategy and work to address capacity gaps including through targeted technical assistance</p>	<p>gaps is available</p> <p>Identified capacity gaps addressed through targeted technical assistance provided to national institutions</p>	<p># and types of targeted technical assistance provided</p>	<p>Review of national reporting on progress in implementation of capacity development for direct access GCF by NIEs</p>									
TOTAL UNEP											217,000	217,000	

ANNEX 8 SOCIAL AND ENVIRONMENT SCREENING

Annex (B). Social and Environmental Screening Template

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure and Toolkit](#) for guidance on how to answer the 6 questions.

Project Information

Project Information	
1. Project Title	Green Climate Fund (GCF) Readiness Programme in Uzbekistan
2. Project Number	00086905
3. Location (Global/Region/Country)	Uzbekistan

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

UNDP will uphold the principles of accountability and the rule of law, participation and inclusion, and equality and non-discrimination, noting that prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. UNDP will also ensure the meaningful, effective and informed participation of stakeholders in the formulation, implementation, monitoring and evaluation of Programmes and Projects.

The Project takes a focused approach to build capacity in Uzbekistan to facilitate equitable access to financing to achieve climate change mitigation and adaptation impacts. The Project is in line with agreed international standards on readiness, which make clear references to country-owned processes, gender equality considerations, and vulnerable groups. Moreover, the implementation activities at the national level in Uzbekistan were devised in cooperation with Government stakeholders and are aligned with national development plans and climate strategies and priorities.

The draft readiness plan, which serves as the basis for the project document, was developed based on clear demands for readiness support from Uzbekistan and the development of the national project was done with the meaningful, effective and informed participation of all stakeholders identified in the project at both the national and subnational levels and with government, private sector, and civil society stakeholders.

Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment

The proposed Project will strengthen the capacity of national stakeholders and subnational and civil society groups to access, manage and benefit from sources of climate finance. Women will be prioritized to take part in trainings and workshops aimed at increasing their ability to plan for, access, and manage sources of climate finance.

Briefly describe in the space below how the Project mainstreams environmental sustainability

The proposed project is financed by the Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety of Germany and is intended to assist stakeholders to access funds from the Green Climate Fund (in its role as a financial mechanism of the UN Framework Convention on Climate Change) and therefore environmental benefits and sustainability are central to and the primary focus of the entire project.

Part B: Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>		QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?	
Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
Risk 1: No risks identified	I = P =			
Risk 2: ...	I = P =			
Risk 3: ...	I = P =			
Risk 4: ...	I = P =			
[add additional rows as needed]				
QUESTION 4: What is the overall Project risk categorization?				
Select one (see SFSP for guidance)				
			Low Risk	<input checked="" type="checkbox"/>
			Moderate Risk	<input type="checkbox"/>
			High Risk	<input type="checkbox"/>
Comments				

LETTER OF AGREEMENT ON DIRECT PROJECT SERVICES

1. Reference is made to consultations between officials of the Government of *Uzbekistan* (hereinafter referred to as "the Government") and officials of UNDP with respect to the provision of support services by the UNDP country office for nationally managed programmes and projects. UNDP and the Government hereby agree that the UNDP country office may provide such support services at the request of the Government through its institution designated in the relevant project document of the joint project of the United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP) and the Government of Uzbekistan (Uzhydromet) "Green Climate Fund Readiness Programme in Uzbekistan", as described below.

2. 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 Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the project.

3. The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the programme/project:

- (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) Processing of direct payments.

4. The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a programme or project, the annex to the project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.

5. 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. The Government shall retain overall responsibility for the nationally managed project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the project document.

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

QUESTION 5: Based on the identified risks and mitigation measures, what requirements of the SESP are relevant?		
Check all that apply		Comments
Principle 1: Human Rights	<input type="checkbox"/>	
Principle 2: Gender Equality and Women's Empowerment	<input type="checkbox"/>	
1. Biodiversity Conservation and Natural Resource Management	<input type="checkbox"/>	
2. Climate Change Mitigation and Adaptation	<input type="checkbox"/>	
3. Community Health, Safety and Working Conditions	<input type="checkbox"/>	
4. Cultural Heritage	<input type="checkbox"/>	
5. Displacement and Resettlement	<input type="checkbox"/>	
6. Indigenous Peoples	<input type="checkbox"/>	
7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>	

Final Sign Off

Signature	Date	Description
QA Assessor Claudia Ortiz Global Programme Manager	9 Nov., 2015	UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver Farid Garakhanov Resident Representative a.i. UNDP Uzbekistan	11 Nov., 2015	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair Farid Garakhanov Resident Representative a.i. UNDP Uzbekistan		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

7. The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall be specified in the annex to the project document.

8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.

9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.

10. Upon the signature, this letter shall constitute an agreement between the Government of Uzbekistan and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed joint project of the United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP) and the Government of Uzbekistan (Uzhydromet) "Green Climate Fund Readiness Programme in Uzbekistan".

For the Government of Uzbekistan:



Viktor Chub
General Director
of the Center of Hydro-meteorological Services
under the Cabinet of Ministers (Uzhydromet)
of the Republic of Uzbekistan.
National Focal Point to UNFCCC,
Designated National Authority to Adaptation
Fund, and National Focal point to the Green
Climate Fund

Date: 21.12.2015

On behalf of UNDP:



Farid Garakhanov
Resident Representative a.i.
UNDP Uzbekistan

Date: 31.12.2015

DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES

1. Reference is made to consultations between the Centre of Hydro-meteorological Services under the Cabinet of Ministers of the Republic of Uzbekistan, the institution designated by the Government of Uzbekistan and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally executed project joint project of the United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP) and the Government of Uzbekistan (Uzhydromet) "Green Climate Fund Readiness Programme in Uzbekistan", Project ID 00096908.

2. In accordance with the provisions of the letter of agreement signed and the project document, the UNDP country office shall provide support services for the Project as described below.

3. Support services to be provided:

	Description of services	Reimbursement amount based on the Universal Price List 2015 used by UNDP for cost recovery with other UN Agencies (in USD)	UNIT
1	Payment Process	29.85	Per voucher
2	Credit card payment	31.80	Per transaction
3	New vendor creation in ATLAS	5.44	Per vendor
4	Payroll validation	30.91	Per person, quarterly
5	Leave monitoring	4.42	Per person, quarterly
6	IC and SC recruitment, including	180.54	Per person
6a	Advertisement	36.11	
6b	Short listing	72.22	
6c	Contract issuance	72.22	
7	Issue IDs	29.93	Per ID
8	F10 Settlement	24.82	Per item
9	Ticket request	24.40	Per ticket
10	Hotel reservation	10.97	Per booking
11	Visa request	20.00	Per person
12	Vehicle Registration	29.13	Per item
13	Procurement process involving local CAP or RACP/ACP	416.29	Per case
13a	Identification and selection	208.14	
13b	Contracting/Issue PO	104.07	
	Follow-up	104.07	Per case
14	Procurement not involving review bodies	167.81	
14a	Identification and selection	83.91	
14b	Contracting/Issue PO	41.95	
	Contract follow-up	41.95	Per lot
15	Disposal of equipment	211.73	

The total amount for provided support services will not exceed 51,009 USD.