

PROJECT DOCUMENT
Tajikistan

Project Title: “Strengthening Preparedness and Response Capacities”

Project Number:

Implementing Partner: UNDP Tajikistan

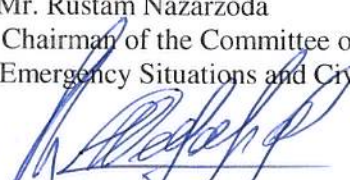
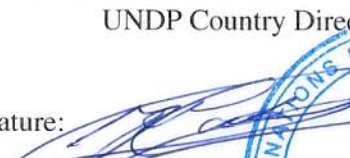
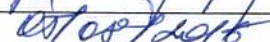

Responsible parties: Committee of Emergency Situations and Civil Defence, Russian Scientific Institute on issues of civil defence and emergency situations, EMERCOM

Start Date: August 2016 **End Date:** July 2018 **PAC Meeting date:** 30 June 2016

| Brief Description |
|---|
| <p>The proposed project aims to build the capacities of the Committee of Emergency Situations and Civil Defense in preparedness to disaster response operations. The Component 1 of the project deals with establishment of a Unified Emergency Preparedness and Response System for emergency situations to ensure better coordination of the preparedness and response amongst government structures. In particular the legislation basis will be reviewed to develop a roadmap for setting this system, based on the Russian model of unified preparedness and response system, including development of the system protocols and SOPs.</p> <p>The Component 2 of the project supplements Component 1 by building the technical capacities on disaster preparedness and response, and targets the Search and Rescue teams. In addition to already revealed gaps, a capacity needs assessment, institutional and technical will be conducted with special focus to central SAR teams. Procurement of heavy machinery to improve preparedness and to enable timely and qualified response is prioritized within this component. To ensure the proper O&M of the equipment, a business plan will be developed.</p> <p>By the end of this project, it is expected that the government structures will be able to coordinate effectively and the development of response plan in case of disasters, and lead the search and rescue interventions.</p> |

| | | | |
|---|-----------------------------------|--------------------|-------------|
| <p>Contributing Outcome (UNDAF/CPD, RPD or GPD):</p> <p>People in Tajikistan are more resilient to natural and man-made disasters resulting from improved policy and operational frameworks for environmental protection and sustainable management of natural resources.</p> <p>Indicative CP Output 6.2: Effective institutional, legislative, policy frameworks in place to enhance the implementation of disaster and climate risk management measures at national and sub-national levels.</p> | Total resources required: | \$ 1,650,000 | |
| | Total resources allocated: | UNDP TRAC: | \$ 150,000 |
| | | Donor: | \$1,500,000 |
| | | Government: | |
| | | In-Kind: | |
| Unfunded: | | | |

Agreed by (signatures):

| Government | UNDP |
|---|--|
| <p>Print Name: Mr. Rustam Nazarzoda Chairman of the Committee of Emergency Situations and Civil Defence</p> | <p>Print Name: Mr. Jan Harfst UNDP Country Director</p> |
| <p>Signature: </p> | <p>Signature: </p> |
| <p>Date: </p> | <p>Date: </p> |

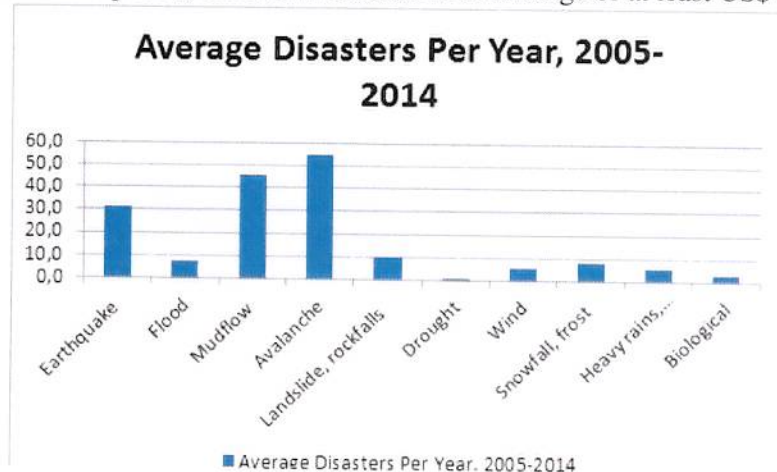


I. DEVELOPMENT CHALLENGE

Overall Disaster Profile in Tajikistan

Tajikistan, with 93% of its territory covered with mountains, is a highly disaster prone country. Mudflows, landslides and floods are most frequent, followed by avalanches and small-scale earthquakes. Between 1997 and 2014, 1,205 deaths, US\$ 504 million in losses¹, were recorded from to 3,190 disasters². From 2005 to 2014, avalanches and mudflows were the most frequent contributor to disasters (see chart), with an average of 11 deaths from each per year. Over the same period, mudflows resulted in an average of at least US\$ 18.8 million per year of damage, greater than any other type of disaster experienced in Tajikistan, followed by earthquakes (US\$ 3 million/year) and floods (US\$ 2.8 million/year).

Tajikistan's mountainous terrain provides little opportunity for the communities to live away from natural hazards such as mud flows or avalanche zones. Even communities in broader valleys live under the risk of floods from the mountains and hills of Tajikistan or neighbouring countries, with earthquakes a constant threat.



Historical disaster data do not capture the potential impact of a major earthquake in Tajikistan. Forecasts for a major seismic event suggest that 55,000 deaths in Dushanbe would be possible. Preparing for such mega-events, (including the collapse of natural or man-made dams) is critical to saving lives and addressing disaster impacts in Tajikistan.

These disaster figures understate the level of damage which actually occurs due to disasters as the data do not generally capture the more frequent smaller mud slides, flooding, rock falls and avalanches regularly affecting rural areas. While these small events are not generally included in the official governmental statistics, they represent a significant burden on rural households' lives and livelihoods.

Overview of Disaster Response Capacities in Tajikistan

The current National Emergency Management System in Tajikistan is organized in a strict top-down manner with marginal involvement of non-profit and private sector stakeholders as well as the local population. The overall policy formulation is managed by the National Commission on Emergency Situations, chaired by the President and consisting of almost all governmental ministries and line agencies. The Commission is expected to meet at least quarterly during non-emergency period on DRR policy formulation issues and be convoked on extraordinary meetings in case of large-scale emergencies.

The day-to-day management of disaster risks is vested in the **Committee of Emergency Situations and Civil Defense under the Government of Tajikistan** ("CoES"), established back in 1994, with the mandate for the national management and coordination of relief assistance in disaster situations. The Committee is also responsible for the development and the implementation of measures aimed at prevention of and preparedness for emergency situations. CoES has approximately 2,300 staff overall, working at the district, province/oblast and national levels.

Search and Rescue Centre of CoES (Tsentropas)

The Tsentropas of Tajikistan is an only professional Search and Rescue (SAR) unit administratively organized under the CoES. It is located in the capital and responds to emergencies all around the country.

¹ Not adjusted for inflation.

² Data: Government of Tajikistan's Committee of Emergency Situations.

They are also responsible for the capital and other big cities and should therefore have a general preparedness for major disasters in urban areas accordingly.

The unit consists of around 100 rescuers divided into four shifts, responding to emergencies in the units own vehicles (two jeeps and three vans) or through the use of other authorities helicopters. This arrangement, however, has been problematic. Formal agreements and channels of payment are yet to be established.

Apart from responding to disasters and performing rescues following accidents, a critical part of Tsentropas' SAR activities involve patrolling the Dushanbe-Khujand and Dushanbe-Khorog roads during winter to rescue vehicles and people affected by avalanches and severe weather. The CoES lacks sufficient heavy equipment to enable Tsentropas and other forces to respond in a timely and efficient manner to disasters where debris clearance is a requirement. These needs are in addition to increasing rescue equipment in Gharm (Rasht Valley) and Khorog (GBAO), as well as all-terrain vehicles for transportation of Tsentropas teams and equipment to isolated rescue sites.

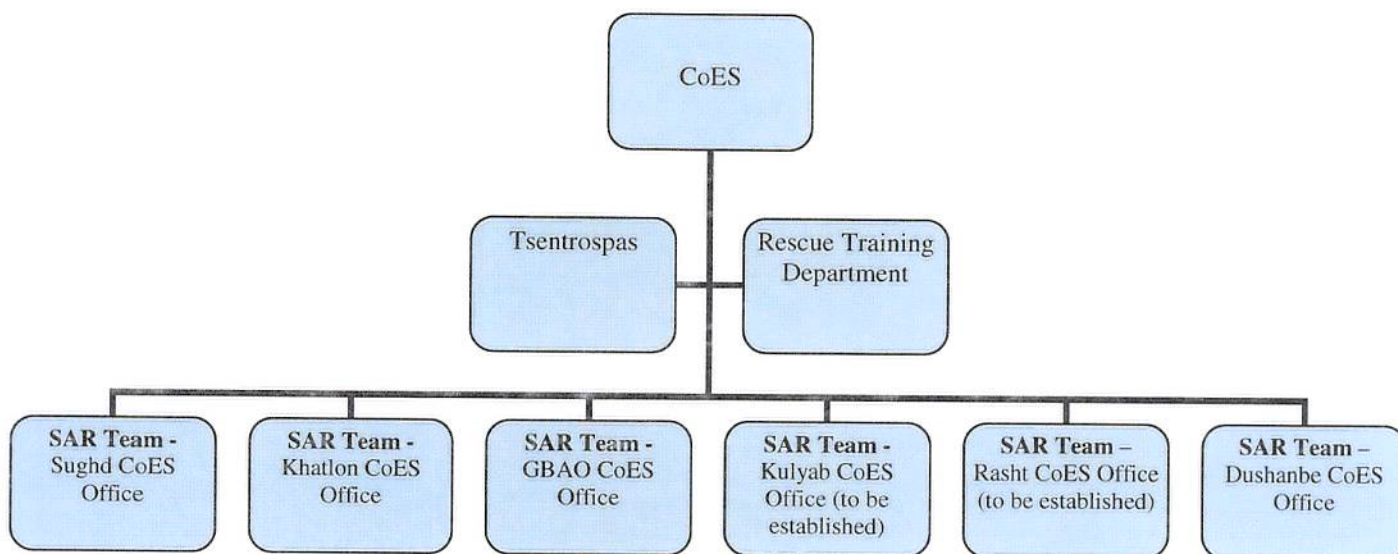
Moreover, the hydroelectric power plants in the country are not staffed with divers, which altogether put an extra workload on the Tsentropas.

Rescue Training Department

The Committee of Emergency Situations is taking steps in improving the disaster response system within its structures. A clear indication of this is the establishment of the new Rescue Training Department. This department is already developing plans on improving the legislation related to Search and Rescue, as well as creating new teams or strengthening the available ones in various parts of the country. Though the ideas and plans seem to be quite logic, the resources allocation for this development will hamper the realization of these plans. The Rescue Training Department is equipped with training rooms, and rubble field for practical exercises. The department is responsible for training new rescuers before joining Tsentropas and regional Rescue teams. The Department is also responsible for re-training of rescuers for skills upgrade and certification. The Department is also dealing with drafting secondary legislation related to the rescue operations, status of rescuers, etc.

Regional Rapid Response Units (RRU)

Currently, there are four regional Rapid Response Units under the regional CoES offices, located in the regions of GBAO (in Khorog), Khatlon (in Kurgan Tube) and Sughd (on in Khujand and one in Kairakum). The units are functionally linked with Tsentropas and consist of about 10 people each, who responds to emergencies in their respective region. The level of trainings and skills varies from region to region. The units lack equipment, including necessary transportation and fuel. Some pieces of modern equipment have been donated earlier by international organizations (mainly by the ECHO-funded³ projects) to some of these units, but this equipment appears to be either old or malfunctioning.



Organizational structure of SAR Teams of CoES

³ European Community's Humanitarian Office projects implemented by international organizations

Firefighting services

The Main Department for Fire Safety is organized under the Ministry of Interior of the Republic of Tajikistan. The State Administration of Fire fighting Services (SAFS) comprises five regional departments (Dushanbe, Sughd, Rasht, Khatlon and GBAO). Altogether 2,400 personnel serve in the militarized fire fighting system. In addition to fires, fire fighters also may respond to other emergencies such as oil spills. That is mainly due to their presence in all regions and smaller cities and their 24-hour readiness. Training of fire fighters is carried out at a training centre (one month), while fire officers are trained by correspondence in the Academy of the Ministry of Interior. Some amount of training (e.g. medical training) is provided at work. The fire trucks are old, but equipped with radios. The fire chief is in charge as the head of the emergency operation in fire-related incidents, he would be subordinate to the highest representative from the CoES in larger scale emergencies.

In Tajikistan, there is no unified disaster response system: Tsentrosipas, other CoES capacities, Fire Fighting Services and Emergency Medicine has not yet fully emerged as an efficient operational structure. The Fire Fighting Service, part of the Ministry of Internal Affairs, deals only with fires and no other rescue work (except during a fire). Tsentrosipas does not deal with fire, even where fire may be a significant hazard for rescue operations. Emergency medical care may or may not be provided in concern with fire or rescue operations.

To increase the development of the preparedness and response part of disaster management system in the country, the Government of Tajikistan requested OCHA in Geneva to field an UNDAC Disaster Response Preparedness Mission to Tajikistan. The mission took place in March 2006 to assess the national capacity to respond to any large scale emergency, which could overwhelm the existing coping mechanisms and would require additional international assistance. The UNDAC team carried out its activities under the auspices of the UN Resident Coordinator in Tajikistan and issued a set of recommendations for developing disaster response preparedness in Tajikistan⁴.

UNDAC report highlights that the current state of preparedness in Tajikistan is limited and will not be able to cope with medium to large-scale disasters. In the majority of provinces and at the local level, the response capacity is almost symbolic in terms of logistics, contingency stocks, communication, rapid response teams and financial resources. It notes that there is a need for a unified contingency planning, effective coordination between different ministries, appropriate equipment, up to date and systematic training, and public education and awareness raising programmes.

Therefore, this proposal addresses a number of major issues of limited disaster preparedness capacities both at central and regional levels, such as disjointed operational structures of disaster response which do not form a single streamlined system, lack of systematic trainings on search and rescue and obsolete and insufficient equipment and machinery for disaster response operations.

II. STRATEGY

The project's strategy is to build national capacities to strengthen preparedness and response capacity in the country. The project strategy acknowledges the work done by the Government, UNDP and others for more than a decade to improve the management of natural hazards and risks. This strategy is framed by the **Tajikistan National Disaster Risk Management Strategy** and the **Sendai Framework for Disaster Risk Reduction**.

The UNDP's comparative advantage in implementing development programmes is its presence both at the policy and at operational levels. This set up enables UNDP to obtain and use the evidence from the ground to influence policy formulation and discussions. UNDP in Tajikistan has demonstrated ability to deliver results in disaster risk reduction at various levels: it has combined support for strategic, high level policy formulation, influencing national policies, promoting legislative reforms, building national capacities, supporting national institutions, delivering results through implementing projects at the local level.

⁴ The mission resulted in a field report; "United Nations Office for Coordination of Humanitarian Affairs. UNDAC Mission Disaster Response Preparedness in Tajikistan, March 12-27, 2006". The full version of the report is available on pdf format at: <http://www.unfj.org/undrmp/undac>

The UNDP's Disaster Risk Management Programme (DRMP) in Tajikistan, established in 2003, has strong partnership with key governmental counterparts, development players, and DRR stakeholders. The primary partnership is with the Committee of Emergency Situations and Civil Defense under the Government of the Republic of Tajikistan, with the Ministry of Economic Development and Trade and the Committee for Environmental Protection, regional and local authorities on disaster preparedness, risk reduction, relief and response through a variety of projects and initiatives.

A theory of change has been developed to map the approach to be utilized by the project to address the issues pertaining to disaster preparedness and response capacities. The key issues the project is set up to address, include:

Immediate causes:

- Lack of unified emergency preparedness and response system in the country;
- Lack of preparedness capacity both at central and regional (local) levels in order to ensure effective and timely response to disasters.

Underlying causes / root causes:

- Disjointed structures of disaster response that do not form a single streamlined system;
- Lack of systematic trainings on search and rescue across the country;
- Obsolete and insufficient equipment for disaster response and preparedness;
- Limited investments into disaster response.

The above causes will be addressed by the project through: 1) establishment of the unified state emergency preparedness and response system; 2) development of training systems for search and rescue and provision of modern equipment; 3) creating a self-sustainable system of disaster response at the national level. These processes require a review of current disaster response operations procedures from across the disaster response structures, development of new operational protocols. Establishment of the unified system will enable all government ministries and agencies to clearly understand their roles in in case of medium to large scale disasters.

The lack of regular trainings in search and rescue, obsolete and insufficient equipment for response operations being the major causes of limited disaster response capacities, the project will address these issues via establishment of regular search and rescue training system, and provision of modern machinery and equipment.

A theory of change diagram is provided below, presenting the analytical flow from the development impact level (SDG) to overall outcome (UNDAF/CPD) and output as identified in a participatory manner between the Government and UNDP. It reflects different levels of priorities that have been identified in consultations with relevant national partners and based on relevant national documents (see the partnerships section below). Also, it contains project level results and planned interventions for addressing the problem and its causes (from top down). The theory of change will be regularly reviewed and updated if and when needed through the Project Board mechanism.

The project strategy incorporates the gender nexus. As gender-related dimensions of interventions are always context-based, the project will identify gender aspects of each activity and define ways in which gender-based differences at the activity level will be defined and addressed. For instance, a series on trainings on gender-specific needs in disaster response operations will be conducted. Attempts will be made to increase the number of female rescuers and their capacities will be enhanced through trainings. For each project activity close monitoring of any unintended negative consequences of social or economic importance to women will be conducted and such risks avoided.

Social and environmental standards: the project has been assessed as low risk impact against social and environmental standards (Annex I).

Outcome

By 2020, people in Tajikistan are more resilient to natural and man-made disasters resulting from improved policy and operational frameworks for environmental protection and sustainable management of natural resources.

Outputs

Strengthened disaster preparedness and response capacity in Tajikistan

Results

The Unified Emergency Preparedness and Response System for Emergency Situations is established

Search and Rescue capacities enhanced

Activities

Develop a roadmap on establishment of a Unified System;
Develop protocols and procedures for the implementation of a Unified System.

Provide trainings on implementation of the Unified Emergency Preparedness and Response System.

Capacity needs assessment of search and rescue capacities, including equipment and trainings.

Provide rescue equipment and heavy machinery.

Conduct field exercises and search and rescue trainings.

Assumptions

Government's initiative endorsing the implementation of the Decree #833 on Unified Emergency Preparedness and Response System;
National Platform for DRR to urge for better inter-ministerial coordination in disaster response.

Search and Rescue Teams of CoES available for trainings;
Training facility of CoES available for trainings.

Risks

Limited involvement of COES and line ministries and agencies in operationalizing Unified Emergency Preparedness and Response System for emergency situations in Tajikistan

Lack of qualified personnel in CoES to assess the needs to conduct search and rescue operations, including equipment, trainings, etc.
Difficulties in involving the experts from the Ministry of Emergency Situations of the Russian Federation

III. RESULTS AND PARTNERSHIPS

The proposed project aims to build the capacities of the Committee of Emergency Situations and Civil Defence in preparedness to disaster response operations.

The project will achieve this through two components. The Component 1 of the project will deal with establishment of a Unified Emergency Preparedness and Response System for emergency situations to ensure better coordination of the preparedness and response amongst government structures. In particular the legislation basis will be reviewed to develop a roadmap for setting this system, based on the Russian model of unified preparedness and response system, including development of the system protocols and SOPs.

The Component 2 of the project will supplement Component 1 by building the technical capacities on disaster preparedness and response, and targets the Search and Rescue teams. In addition to already revealed gaps, a capacity needs assessment, institutional and technical will be conducted with special focus to central SAR teams. Procurement of heavy machinery to improve preparedness and to enable timely and qualified response is prioritized within this component. To ensure the proper O&M of the equipment, a business plan will be developed.

Project interventions will contribute to the UNDAF/CPD outcomes that states *“People in Tajikistan are more resilient to natural and man-made disasters resulting from improved policy and operational frameworks for environmental protection and sustainable management of natural resources”*, and, furthermore, it will contribute to the overall development challenge of Sustainable Development Goal 13 that addresses combating climate change and its impacts.

Component 1: Establish a Unified Emergency Preparedness and Response System for emergency situations

In order to deal with the challenges and capacity gaps described above, the Government of Tajikistan identified the Russian Unified State Emergency Preparedness and Response System⁵ as an optimal model to bring together the search and rescue organizations. The Decree # 833 as of 31 December 2014, on establishment of a Unified Emergency Preparedness and Response System has been issued in Tajikistan, but the document needs to be turned into an operational system and process that works across all stakeholder organizations. This process requires a review of current disaster response operations procedures from across the civil defence structure, development of new operational protocols and training and complex field testing for all parties involved.

This component will involve the following activities:

Activity 1.1.: A review of relevant legislation in Tajikistan to develop a roadmap on establishment of a Unified State Emergency Preparedness and Response System based on the model of the Russian Unified State Emergency Preparedness and Response System.

Activity 1.2.: Development of secondary legislation, protocols and procedures for the implementation of a Unified State Emergency Preparedness and Response System for Tajikistan.

Activity 1.3.: Development of training materials on coordination of preparedness and response;

Activity 1.4.: Provision of a series of trainings to all Civil Defense and Commission-level officials in the implementation of the Unified State Emergency Preparedness and Response System;

⁵ Government of the Russian Federation, Decree No. 794, of December 30, 2003. On The Unified State System of Preparedness and Liquidation of Emergency Situations.

Activity 1.5.: Large scale and technically complex field exercises to demonstrate understanding and capacity to implement the Unified System.

Component 2: Strengthening the search and rescue capacities of Tsentropas (CoES SAR Department), including human capacities and technical resource base, so that search and rescue works are undertaken in a timely and efficient fashion.

Professional intervention teams will be trained⁶ and prepared to fulfil specific roles in carrying out rescue operations and take measures such as (temporary) evacuations when needed. These measures aim at minimizing the loss of life and physical damage as well as the consequences during the onset of a disaster.

It is suggested that, after a thorough assessment, the heavy rescue equipment required for debris clearance and rescue works in avalanches and mudflows will be procured. At the same time, as CoES is constrained to budget necessary funds to maintain this equipment as a stand-by capacity, it is suggested to develop a business model for a commercial entity to be developed within COES structure, to allow the equipment to be used on a for-hire basis when the equipment is not needed for emergency operations. By developing an appropriate business and operations plan which enables the proper operation and maintenance of the equipment base so that the equipment will be made immediately available in case of disasters.

This component will involve the following activities:

Activity 2.1.: An operations requirements-based assessment⁷ of SAR needs and capacities in Tajikistan.

Activity 2.2.: Conduction of capacity needs assessment of COES, including equipment and training to efficiently respond to disasters.

Activity 2.3.: Conducting search and rescue training and providing additional SAR equipment.

Activity 2.4.: Development of a business plan to ensure sustainability of disaster response operations implemented by CoES, including the procurement and use of heavy machinery;

Activity 2.5.: Procurement of heavy rescue equipment based on the capacity needs assessment conducted.

Partnerships with other projects and initiatives

The Disaster Risk Management Programme (DRMP) is the primary mechanism through which UNDP addresses disaster preparedness, response, and recovery and risk reduction in Tajikistan. The overall objective of UNDP's Disaster Risk Management Programme is to "decrease the risk of natural and man-made hazards to rural and urban livelihoods, and ensure infrastructure and recovery mechanisms in place". Established in 2003 as a stand-alone project, it addresses the serious and chronic problems faced by Tajikistan and its regional neighbors with regard to natural disaster risk management – comprised of disaster preparedness, response, recovery and most importantly mitigation and prevention activities and linking them to community level.

The DRMP serves as UNDP's primary mechanism for responding to disasters in Tajikistan and manages the UN Emergency Reserve for Tajikistan (which falls under the auspices of UN Resident Coordinator's mechanism). DRMP, in its capacity of REACT Secretariat, is placed at the centre of humanitarian coordination arrangements in the country, forming strategic cooperation partnership with the main national stakeholder, the Committee of Emergency Situations (Co-Chair of REACT together with the UN Resident Coordinator). To-date, DRMP's areas of focus are:

1. Capacity building of CoES (with establishment of the CoES Information Management and Analytical Centre and National DRM Training System being major achievements in this area),
2. Enhancing response capacities for search and rescue; and
3. Harmonization of the legal and institutional frameworks (including supporting the development of the National Disaster Risk Management Strategy 2010 – 2015, approved by the Government in 2010).

DRMP's efforts have grown, in both scope and value, over the past years with the funding mainly from the European Commission/ECHO, Switzerland, Sweden, CERF, the United Kingdom and UNDP's own resources.

⁶ A more detailed description of the course curricula will be developed during the first phase of the project and enclosed to the phase I report accordingly

⁷ Focused on what SAR requirements exist in time, space and complexity and current capacities to respond to these requirement.

Cooperation with the Russian Federation

Tajikistan has signed a few bilateral agreements to formalize relationships in cases of major disaster response operations. These agreements will be the basis for involvement of international rescue services in response operations during any major disaster in Tajikistan. Among these, there is a longstanding cooperation between The Ministry of the Russian Federation for Civil Defence, Emergencies and Elimination of Consequences of Natural Disasters (EMERCOM of Russia in short) and the Committee of Emergency Situations of Tajikistan which is grounded by the Intergovernmental Agreement on Civil Defence, Preparedness and Response, dated from 18 February, 1998. Within the framework of this agreement, a few joint response exercises were conducted. The most massive intervention was a joint delivery of humanitarian aid to Afghanistan in 2001-2002. This framework agreement also provides for several scholarships for CoES officers in EMERCOM's Academy of Civil Defense. It must be mentioned that although, the Intergovernmental Agreement on Preparedness and Response has been signed more than a decade ago, to-date the cooperation between the EMERCOM of Russia and Tajikistan's Committee for Emergency Situations and Civil Defense is still limited to humanitarian assistance provided during the disasters.

The proposed project, building on the cooperation established bilaterally, goes beyond the classic humanitarian scope, and frames the cooperation between two countries under development agenda. The project strategy suggests to expand the cooperation between two countries, by establishing the unified system on disaster preparedness and response following the model currently functioning in the Russian Federation which proved to be one of the best functioning mechanisms for disaster preparedness and response in CIS region.

The project envisages that Emercom (Sentrospas) and Russian scientific institute on issues of civil defence and emergency situations will support the Government of Tajikistan in establishment of the Unified State Emergency Preparedness and Response System for Tajikistan. The scope of expected EMERCOM of Russia and Russian scientific institute on issues of civil defence and emergency situations engagement includes:

- Assessment and advice on establishing the Unified State Emergency Preparedness and Response System for Tajikistan.
- Guiding the development of legal documents, procedures and protocols for the operation of the System and related training.
- Assessment and defining operations requirements-based needs for Tsentrospas.
- Practical training and technical exercises to strengthen the capacity of Tsentrospas.

These efforts do not overlap with existing bilateral cooperation between EMERCOM of Russia and CoES and expected to be completed as an integral part of the overall implementation of the project by UNDP.

Stakeholders' engagement

The key project stakeholders were identified during the project design and their respective roles are described in below table:

| Partners | Anticipated roles to play |
|--|---|
| The National Platform for DRR | <p>In 2012, Government of Tajikistan has officially established the National Platform for Disaster Risk Reduction (DRR), as a standing sub-committee to the State Commission of Emergency Situations. It is a consultative and advisory body tasked to coordinate the activities of the Government and partner agencies and organizations in disaster risk reduction, which requires political and legal commitment, public understanding, scientific knowledge, careful development planning, responsible enforcement of policies and legislation, people-centred early warning systems, and effective disaster preparedness and response mechanisms.</p> <p>Since its establishment UNDP provides basic technical and institutional support for the work of the National Platform using various funds from donor organizations (UNDP's BPPS and Swiss Agency for Development and Cooperation).</p> <p>The NP, where all government ministries and agencies are represented, will serve as driving force to urge its members to actively participate in establishment of the unified emergency preparedness and response system. According to its requirements of the Unified system, all ministries and agencies should have sufficient disaster preparedness capacity and clearly understand their roles in response coordination. The NP as an umbrella structure will steer active participation of its members within unified emergency preparedness and response system.</p> |
| The Committee of Emergency situations and Civil defence under the Government of Tajikistan | <p>The Committee on Emergency Situations and Civil Defence (CoES), established back in 1994 is responsible for day-to-day management of disaster risks within the country. CoES has its structural divisions at oblast, city and district levels – they are the CoES offices in oblasts, cities and districts with the corresponding rights and responsibilities.</p> <p>The main role of the CoES is to protect people, economic infrastructure and territories in Tajikistan from the disasters, organize and carry out activities to prepare the population, and to prevent and mitigate natural and technological disasters. The CoES is also, among other obligations, responsible for the development and the implementation of measures aimed at prevention of and preparedness for emergency situations.</p> <p>The Tsentrospos of Tajikistan is an only professional Search and Rescue (SAR) unit administratively organized under the CoES. Apart from being in charge of rescue operations countrywide, they are responsible for the capital and other big cities and should therefore have a general preparedness for major disasters in urban areas accordingly.</p> <p>Thus, the Tsenrospos will be main target on technical and institutional capacity building, which is deemed to enhance their response capacity to deliver efficient and timely rescue services for the affected people.</p> |
| Rapid Emergency Assessment and Coordination Team (REACT) | <p>Rapid Emergency Assessment and Coordination Team (REACT) was established in 2001 to promote the sharing of information, logistics and other resources between partners active in the disaster management sector, including the Committee of Emergency Situations and the Government of Tajikistan. The group that involves over 40 state, local and international organizations and entities meets regularly to coordinate and share experiences on issues related to various areas of disaster management, including preparedness, response, mitigation and capacity building activities with national bodies. During emergency situations the partnership works closely together, coordinating response and assistance. REACT has played a crucial role in coordination of disaster prevention and risk reduction as well as disaster response at all levels and particularly those focused on the community level. UNDP is performing a Secretariat role for REACT ensuring that meetings are convoked regularly and DRR issues are coordinated by all actors.</p> |

South-South and Triangular Cooperation

The project will enable cooperation with the Russian Unified State Emergency Preparedness and Response System in order to engage the Russian Emercom to deliver specialized trainings for relevant Government stakeholders in Tajikistan. The preliminary agreement on their involvement was already reached through official communication. This cooperation will maximize mutual benefits in the area of humanitarian disaster response operations.

In order to develop an appropriate business and operations plan which enables the proper operation and maintenance of the equipment procured within the framework of this project, experience of Kyrgyzstan and Belarus on establishment of commercial entity within the framework of governmental agencies will be studied. This experience will serve as a basis for development of a business model be established within to ensure operations and maintenance of the heavy equipment.

Knowledge

For harmonization of unified emergency preparedness and response system, development of secondary legislation, protocols and SOPs, development of training materials on coordination of preparedness, response and rescue operations is envisaged. Results from the project will be disseminated within and beyond the project intervention zone through a number of existing information sharing networks and forums. In addition, the project will share lessons between the project managers of similar projects. 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 though lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects.

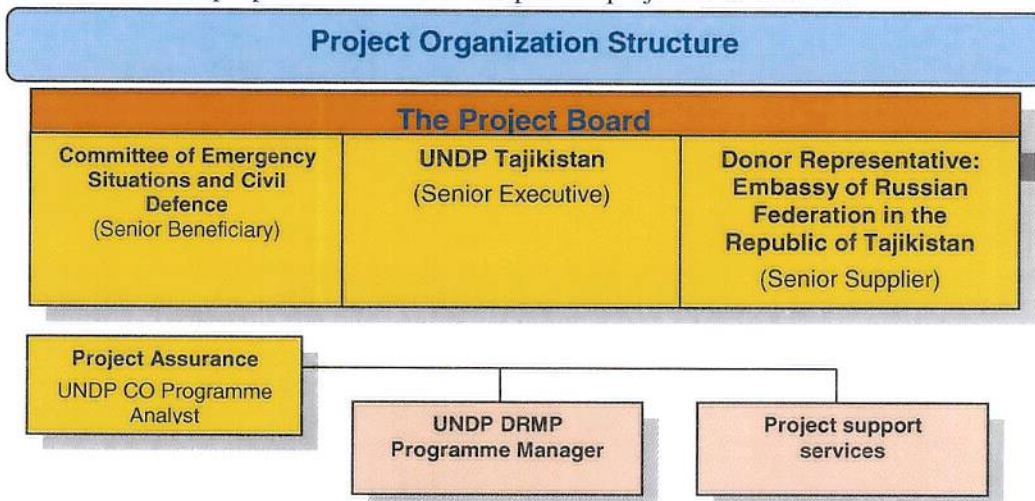
Sustainability and Scaling Up

The project is designed to replicate the Russian Model of the unified emergency preparedness and response system for strengthening disaster response and harmonization of disaster coordination in Tajikistan, identified by the Government of Tajikistan as an optimal model for strengthening emergency preparedness and response coordination (Decree # 833 as of 31 December 2014). The project sustainability and success will depend on strong government commitment to support changes in enabling regulatory and legal framework. Thus, building the project's objectives on national priorities and a series of national legislative and strategic documents ensures inherent ownership over the project's interventions and targets the core needs of the authorities.

Project Management Structure

Implementation modality: The project will be implemented utilizing the Direct Implementation Modality (DIM) by the Disaster Risk Management Programme of UNDP Tajikistan.

The proposed structure of the present project is as follows:



The Project Board comprising a donor representative (Embassy of Russian Federation in the Republic of Tajikistan), UNDP in Tajikistan and the Government of Tajikistan will be formed to provide strategic direction of the project. The Project Board will review the progress of the project, including project reports, and work plans. The Project Board will serve as a platform for the major stakeholders of the project to discuss the overall direction of the project as well as to take the strategic decisions to ensure most optimal use of resources towards achievement of set goals and objectives.

Project Board meetings will be organized on regular basis, but not less than twice a year, to review work-plans and implementation of the project.

The Project Board group contains the following roles:

Project Executive: individual(s) representing the project ownership to chair the group. Within the frame of this project, this function will be represented by UNDP.

Development Partners (also called Senior Supplier): individuals or groups representing the interests of the parties which provide funding and/or technical expertise to the project. In case of this project, this group is represented by Embassy of Russia in Tajikistan.

Beneficiary Representative: individuals or groups of individuals representing the interests of those who will ultimately benefit from the project, i.e. the Committee of Emergency Situations and civil defence. The primary function within the Board is to ensure achievement of the project results from the perspective of project beneficiaries.

Project Assurance: The project assurance role is undertaken by UNDP CO, and supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. UNDP Programme Analyst holds the Project Assurance role on behalf of UNDP.

Main functions and responsibilities of project staff, which will be involved for implementation:

UNDP DRMP Programme Manager (50%) will work under the guidance of UNDP Senior Management and in close coordination with the responsible UNDP Programme Analyst, and has the authority to run the project on a day-to-day basis on behalf of the Project Board. The Programme Manager is responsible for day-to-day management and decision-making for the project. The Programme Manager's prime responsibility is to ensure that the project produces the results (outputs) specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

Project Analyst (100%) role provides project administration, management and technical support to the Programme Manager as required by the needs of the project.

Project Engineer (50%) cost-shared with other projects, will be responsible for compiling the technical specifications of heavy machinery, search and rescue equipment, which will be procured under this project. Within his/her established level of authority, he/she will also be responsible for procurement and contracts management from planning of the tender to handover of the goods and services to target beneficiaries.

Administrative/Finance Assistant (AFA) (60%) cost-shared with other projects under UNDP's Disaster Risk Management Programme, will be responsible for all administrative, including human resources, and financial management of the Project in line with UNDP financial rules and regulations. As well, the AFA will provide the required logistical and else administrative support in organizing project related high level meetings and events.

Driver (60%) cost-shared with other will provide driving services and will also ensure safety of staff while on missions.

According to the Programme and Operational Policies and Procedures of UNDP, the following Policies are applied for Direct Implementation Modality:

- All Policies and Procedures applicable to UNDP operations (i.e. procurement of goods and services, recruitment of project personnel, training activities, etc).

- **All UNDP Financial Rules and Regulations:**
- o **Financial management:** In the context of DIM modality, the financial software programme - ATLAS will be applied. ATLAS is the management information system which ensures accuracy and transparency of financial information. UNDP country office uses ATLAS to keep track of the financial status of the project at all times, to control expenses, to handle outstanding commitments, to make payments and to monitor the performance of contractors. As such, Atlas is used for both financial management and substantive monitoring.
- o **Financial reporting:** The financial reporting and control mechanisms used to monitor DIM Project include: 1) Combined Delivery Report (CDR), 2) Project Budget Balance and 3) Project transaction detail report.

The Combined Delivery Reporting is mandatory and reflects the expenses and funds utilized on a project. This report is run on a quarterly basis and is signed by UNDP Resident Representative or Country Director on an annually basis. The Project Budget Balance is used to monitor and manage budgetary availability of the Project. The Project transaction detail report is very detailed and is used on a daily basis to monitor daily transactions and expenses.

IV. RESULTS FRAMEWORK⁸

| Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework: People in Tajikistan are more resilient to natural and man-made disasters and benefit from improved policy and operational frameworks for environmental protection and management of natural resources. | | | | | | | | |
|---|---|--------------------------|----------|------|--|--------|-------|---|
| Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets: | | | | | | | | |
| <i>Output 6.2:</i> Effective institutional, legislative, policy frameworks in place to enhance the implementation of disaster and climate risk management measures at national and sub-national levels | | | | | | | | |
| <i>Output 6.3:</i> Strengthened livelihoods through solutions for disaster and climate risk management | | | | | | | | |
| Applicable Key Result Area from Strategic Plan 2016-2020: Resilience Building | | | | | | | | |
| SP Outcome 5: Disaster Prevention and Risk Management | | | | | | | | |
| SP Output 5.4.: Preparedness systems in place | | | | | | | | |
| Project title and Atlas Project Number: 00033396 Disaster Risk Management Programme | | | | | | | | |
| OUTPUTS | OUTPUT INDICATORS | DATA SOURCE | BASELINE | | TARGETS (by frequency of data collection) | | | DATA COLLECTION METHODS |
| | | | VALUE | YEAR | Year 1 | Year 2 | Final | |
| <i>Output 1:</i> Establish a Unified Emergency Preparedness and Response System for emergency situations. | 1.1 functioning unified emergency preparedness and response system; | Project progress reports | 0 | 2016 | 1 | | 1 | Government decree, minutes of interagency meetings, minutes of NP Expert Group meetings; Reports by legal consultants; Training materials; Scenario of field exercises from CoES. |
| | 1.2 # of legal documents and SOP needed for implementation of unified system; | | 0 | | 1 | 3 | 4 | |
| | 1.3 Training materials developed; | | 0 | | 0 | 5 | 5 | |
| | 1.4 # of people covered by | | 0 | | 0 | 30 | 30 | |

⁸ UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

| | | | | | | | | |
|--|---|--------------------------|---|-----------|---|-----|-----|--|
| | trainings; | | | | | | | |
| | 1.5 Field exercise on testing unified emergency system. | | 0 | | 0 | 1 | 1 | |
| Output 2: Strengthening the search and rescue capacities of Tsentrospas (CoES SAR Department), including human capacities and technical resource base, so that search and rescue works are undertaken in a timely and efficient fashion. | 2.1 needs assessment conducted; | Project progress reports | 0 | 2016-2017 | 2 | | 2 | Questionnaire on needs assessment; Training modules; Minutes of tender procedure; List of equipment and machinery; Charter of commercial entity within CoES. |
| | 2.2 # of people trained on search and rescue; | | 0 | | | 60 | 60 | |
| | 2.3 # search and rescue equipment; | | 0 | | 5 | 195 | 200 | |
| | 2.4 # of heavy machinery for debris cleaning and transportation of relief aid; | | 0 | | | 3 | 3 | |
| | 2.5 commercial structures under CoES and business plan to manage the heavy machinery. | | 0 | | | 1 | 1 | |

V. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

Monitoring Plan

| Monitoring activity | Purpose | Frequency | Expected action | Partners (if joint) | Cost (if any) |
|------------------------------------|---|-----------|---|--|--------------------|
| Track results progress | Progress data against the results indicators in the RRF will be collected and analyzed to assess the progress of the project in achieving the agreed outputs. | Annually | Slower than expected progress will be addressed by project management. | CoES, EMERCOM of Russia, and Russian scientific institute on issues of civil defence and emergency situations. | \$20,000 |
| Monitor and Manage risks | Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk. | Annually | Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken. | | \$5,000 |
| Learn | Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project. | Annually | Relevant lessons are captured by the project team and used to inform management decisions. | | \$5,000 |
| Annual Project Quality Assurance | The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project. | Annually | Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance. | | \$5,000 |
| Review and Make Course Corrections | Internal review of data and evidence from all monitoring actions to inform decision making. | Annually | Performance data, risks, lessons and quality will be discussed by the project board and used to make course | | Project staff cost |

| | | | | | |
|---------------------------------------|--|----------|--|--|--------------------|
| | | | corrections. | | |
| Project Report | A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk log with mitigation measures, and any evaluation or review reports prepared over the period. | Annually | Quarterly and annual reports indicating progress and challenges will be developed. | | Project staff cost |
| Project Review (Project Board) | The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences. | Annually | Any quality concerns or slower than expected progress should be discussed by the Project Board and management actions agreed to address the issues identified. | | \$4,000 |

Evaluation Plan⁹

| Evaluation Title | Partners (if joint) | Related Strategic Plan Output | UNDAF/CPD Outcome | Planned Completion Date | Key Evaluation Stakeholders | Cost and Source of Funding |
|--------------------------|-------------------------|---|---|-------------------------|---|----------------------------|
| Final project evaluation | CoES, EMERCOM of Russia | Effective institutional, legislative, policy frameworks in place to enhance the implementation of disaster and climate risk management measures at national and sub-national levels | People in Tajikistan are more resilient to natural and man-made disasters resulting from improved policy and operational frameworks for environmental protection and sustainable management of natural resources. | June 2018 | CoES, Member of the National Platform for DRR | 10,000 Project budget |

⁹ Optional, if needed

VI. MULTI-YEAR WORK PLAN ¹⁰¹¹

| EXPECTED OUTPUTS | PLANNED ACTIVITIES | Planned Budget by Year | | | RESPONSIBLE PARTY | PLANNED BUDGET | | |
|--|---|------------------------|--------|--------|-------------------|----------------|--|-----------------|
| | | 2016 | 2017 | 2018 | | Funding Source | Budget Description | Amount (in USD) |
| Output 1: Establish a Unified Emergency Preparedness and Response System for emergency situations | Activity 1.1.: A review of relevant legislation in Tajikistan to develop a roadmap on establishment of a Unified State Emergency Preparedness and Response System based on the model of the Russian Unified State Emergency Preparedness and Response System. | | 4,000 | | UNDP | TFD | 71300 Local Consultants | 4,000 |
| | | 8,000 | 10,000 | | UNDP | UNDP TRAC | 72100 Contractual Services-Companies (Russian scientific institute on issues of civil defence and emergency situations) | 18,000 |
| | Activity 1.2.: Development of secondary legislation, protocols and procedures for the implementation of a Unified State Emergency Preparedness and Response System for Tajikistan. | | 10,500 | | UNDP | TFD | 71300 Local Consultants | 10,500 |
| | | 2,000 | 3,000 | | UNDP | TFD | 72500 Supplies | 5,000 |
| | Activity 1.3.: Development of training materials on coordination of preparedness and response. | 7,000 | 7,000 | | UNDP | TFD | 71300 Local Consultants | 14,000 |
| | | 5,000 | 15,000 | 10,000 | UNDP | UNDP TRAC | 72100 Contractual Services-Companies | 30,000 |

¹⁰ Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

¹¹ Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

| | | | | | | | | | |
|---|--|-------|--------|--------|-------|-----------|---|---|--------|
| | Activity 1.4.: Provision of a series of trainings to all Civil Defense and Commission-level officials in the implementation of the Unified State Emergency Preparedness and Response System. | | 19,500 | 10,000 | UNDP | UNDP TRAC | 72100 Contractual Services-Companies (Russian scientific institute on issues of civil defence and emergency situations) | 29,500 | |
| | | | 5,000 | 5,000 | UNDP | TFD | 73410 Maint. Oper of Transport Equip | 10,000 | |
| | Activity 1.5.: Large scale and technically complex field exercises to demonstrate understanding and capacity to implement the Unified System. | | 12,000 | 10,000 | UNDP | TFD | 72100 Contractual Services-Companies (Field exercise) | 14,000 | |
| | | | | | | | 74500 Miscellaneous Expenses | 8,000 | |
| | Management and monitoring | | 30,000 | 10,000 | 5,000 | UNDP | UNDP TRAC | 71400 Contractual Services - Individuals | 35,000 |
| | | | | | | | 71600 Travel | 10,000 | |
| Sub-Total for Output 1 | | | | | | | | 188,000 | |
| Output 2: Strengthening the search and rescue capacities of Tsentrospas (CoES SAR Department), including human capacities and technical resource base, so that search and rescue works are undertaken in a timely and efficient fashion. | Activity 2.1.: An operations requirements-based assessment ¹² of SAR needs and capacities in Tajikistan. | 5,000 | 5,000 | | UNDP | TFD | 71300 Local Consultants | 10,000 | |
| | Activity 2.2.: Conduction of capacity needs assessment of COES, including equipment and training to efficiently respond to disasters. | | 9,000 | 8,405 | | UNDP | TFD | 71300 Local Consultants | 9,000 |
| | | | | | | | | 71600 Travel | 8,405 |
| | Activity 2.3.: Conducting search and rescue training | | | 12,000 | 7,100 | UNDP | UNDP TRAC | 71200 International Consultants (Emercom experts) | 12,000 |
| | | | | | | | | 74500 Miscellaneous Expenses | 7,100 |
| Activity 2.4.: Development of a business plan to ensure sustainability of disaster response | | | 12,500 | 12,500 | UNDP | TFD | 71200 International Consultants (Emercom experts) | 15,000 | |

¹² Focused on what SAR requirements exist in time, space and complexity and current capacities to respond to these requirement.

| | | | | | | | | |
|-----------------------------------|---|----------------|----------------|----------------|-------|--------------------------------------|--|------------------|
| | operations implemented by CoES, including the procurement and use of heavy machinery; | | | | | | 74200 Printing and publications | 4,000 |
| | | | | | | | 71300 Local Consultants | 6,000 |
| | Activity 2.5.: Procurement of light and heavy rescue equipment; | 14,495 | 650,000 | 460,000 | UND P | TFD | 72100 Contractual Services-Companies | 1,117,495 |
| | | | | | | TFD | 71606 Int. travel | 7,000 |
| | Management and monitoring | 31,220 | 44,220 | 44,135 | UND P | TFD | 71400 Contractual Services - Individuals | 72,800 |
| UND P TRAC | | | | | | 73100 Rental & Maintenance-Premises | 23,000 | |
| TFD | | | | | | 72505 Stationery & other Office Supp | 7,711 | |
| | | | | | | 74500 Miscellaneous Expenses | 5,912 | |
| | | | | | | 72445 Common Services-Communications | 10,152 | |
| Sub-Total for Output 2 | | | | | | | | 1,315,575 |
| Evaluation | EVALUATION | | | | | | | 18,977 |
| General Management Support | | | | | | | | 111,111 |
| 74510 Bank charges | | | | | | | | 16,337 |
| TOTAL | | 154,198 | 870,608 | 625,195 | | | | 1,650,000 |

VII. LEGAL CONTEXT

This Project Document shall - together with the United Nations Development Assistance Framework (UNDAF) for Tajikistan (2016-2020) and the UNDP Country Programme Action Plan (CPAP, 2016-2020) - be the instrument referred to as such in Article I of the Standard Basic Assistance Agreement between the Government of Tajikistan and the United Nations Development Program (signed by the parties on 1 October 1993).

Consistent with the Article III of the Standard Basic Assistance Agreement (SBAA), the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, 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 the Implementing Partner's obligations under this Project Document.

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/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document".

ANNEX I. SOCIAL AND ENVIRONMENTAL SCREENING TEMPLATE

Project Information

| | |
|--|--|
| Project Information | |
| 1. Project Title | “Strengthening preparedness and response capacity” |
| 2. Project Number | |
| 3. Location (Global/Region/Country) | Tajikistan |

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

The project directly contributes to the right to work ICESCR Art 6.1, the right to an adequate standard of living ICESCR Art 11, as well as the elimination of discrimination against women UN CEDAW Art 14. The project will provide equal rights and opportunities for men and women. It has a special focus on increasing the number of women in search and rescue teams, provide equal capacity building trainings for them. As for the beneficiaries, both men and women will get equal approach while responding to disasters.

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

The project targets to increase the women’s participation in training events by 35% and increase the number of women rescuers.

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

The activities envisaged within the project will ensure adhering internationally recognized environmental norms.

Part B. Identifying and Managing Social and Environmental Risks

| | | | | |
|---|---|--|--|--|
| <p>QUESTION 2: What are the Potential Social and Environmental Risks?</p> <p><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></p> | <p>QUESTION 3: What is the level of significance of the potential social and environmental risks?</p> <p><i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p> | | | <p>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)?</p> |
| <p>Risk Description</p> | <p>Impact and Probability (1-5)</p> | <p>Significance (Low, Moderate, High)</p> | <p>Comments</p> | <p><i>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.</i></p> |
| <p>Risk 1: Difficulties in involvement of females in Search and Rescue Teams</p> | <p>I = 2 P = 1</p> | <p>Low</p> | <p>The project will encourage COES to provide attractive salary package for women rescuers.</p> | |
| <p>Risk 2: The heavy machinery to be procured may not be meeting environmental pollution standards</p> | <p>I = 3 P = 1</p> | <p>Low</p> | <p>A minimum environmental pollution standards will be established and machineries meeting these standards will be procured.</p> | |
| <p>Risk 3: Limited coverage of mountainous rescuers by social benefit package</p> | <p>I = 2 P = 3</p> | <p>Low</p> | <p>The project will urge government partners to provide decent social packages to women and mountain rescues.</p> | |
| <p>QUESTION 4: What is the overall Project risk categorization?</p> | | | | |
| <p>Select one (see SESP for guidance)</p> | | | <p>Comments</p> | |

| | | | |
|---|---|-------------------------------------|--|
| | <i>Low Risk</i> | <input checked="" type="checkbox"/> | |
| | <i>Moderate Risk</i> | <input type="checkbox"/> | |
| | <i>High Risk</i> | <input type="checkbox"/> | |
| QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant? | Check all that apply | | Comments |
| | <i>Principle 1: Human Rights</i> | <input type="checkbox"/> | |
| | <i>Principle 2: Gender Equality and Women's Empowerment</i> | <input checked="" type="checkbox"/> | The project strategy incorporates the gender nexus. As gender-related dimensions of interventions are always context-based, the project will identify gender aspects of each activity and define ways in which gender-based differences at the activity level will be defined and addressed. For instance, a series on trainings on gender-specific needs in disaster response operations will be conducted. Attempts will be made to increase the number of female rescuers and their capacities will be enhanced through trainings. For each project activity close monitoring of any unintended negative consequences of social or economic importance to women will be conducted and such risks avoided. |
| | <i>1. Biodiversity Conservation and Natural Resource Management</i> | <input type="checkbox"/> | |
| | <i>2. Climate Change Mitigation and Adaptation</i> | <input type="checkbox"/> | |
| | <i>3. Community Health, Safety and Working Conditions</i> | <input type="checkbox"/> | |
| | <i>4. Cultural Heritage</i> | <input type="checkbox"/> | |
| | <i>5. Displacement and Resettlement</i> | <input type="checkbox"/> | |
| | <i>6. Indigenous Peoples</i> | <input type="checkbox"/> | |
| | <i>7. Pollution Prevention and Resource Efficiency</i> | <input checked="" type="checkbox"/> | The project design does not imply any direct potential adverse environmental impacts. The project will strive to comply with environmental standards set by UNDP Procurement Guide, in procurement of equipment and machinery envisaged under the project, as a management and mitigation measure to prevent indirect potential adverse environmental impacts. |

Final Sign Off

| <i>Signature</i> | <i>Date</i> | <i>Description</i> |
|------------------|-------------|---|
| QA Assessor | | 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 | | 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 | | 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. |

Annex II: Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | |
|--|------------------------|
| Principles 1: Human Rights | Answer (Yes/No) |
| 1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ¹³ | No |
| 3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups? | No |
| 4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them? | No |
| 5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project? | Yes |
| 6. Is there a risk that rights-holders do not have the capacity to claim their rights? | No |
| 7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process? | No |
| 8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals? | No |
| Principle 2: Gender Equality and Women's Empowerment | |
| 1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls? | No |
| 2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? | No |
| 3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment? | No |
| 4. Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? | No |
| Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below | |
| | |

¹³ 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. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

| Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management | | |
|--|---|----|
| 1.1 | Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? | No |
| 1.2 | Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? | No |
| 1.3 | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 | Would Project activities pose risks to endangered species? | No |
| 1.5 | Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 | Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 | Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water? | No |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | No |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? | No |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ¹⁴ greenhouse gas emissions or may exacerbate climate change? | No |
| 2.2 | Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change? | No |
| 2.3 | Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? | No |
| Standard 3: Community Health, Safety and Working Conditions | | |
| 3.1 | Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities? | No |
| 3.2 | Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? | No |
| 3.3 | Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | No |
| 3.4 | Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of | No |

¹⁴ In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

| | | |
|--|--|----|
| | buildings or infrastructure) | |
| 3.5 | Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | No |
| 3.6 | Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)? | No |
| 3.7 | Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning? | No |
| 3.8 | Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)? | No |
| 3.9 | Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? | No |
| Standard 4: Cultural Heritage | | |
| 4.1 | Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts) | No |
| 4.2 | Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes? | No |
| Standard 5: Displacement and Resettlement | | |
| 5.1 | Would the Project potentially involve temporary or permanent and full or partial physical displacement? | No |
| 5.2 | Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)? | No |
| 5.3 | Is there a risk that the Project would lead to forced evictions? ¹⁵ | No |
| 5.4 | Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | No |
| Standard 6: Indigenous Peoples | | |
| 6.1 | Are indigenous peoples present in the Project area (including Project area of influence)? | No |
| 6.2 | Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | No |
| 6.3 | Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or</i> | No |

¹⁵ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

| | | |
|---|--|----|
| <i>High Risk.</i> | | |
| 6.4 | Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | No |
| 6.5 | Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | No |
| 6.6 | Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? | No |
| 6.7 | Would the Project adversely affect the development priorities of indigenous peoples as defined by them? | No |
| 6.8 | Would the Project potentially affect the physical and cultural survival of indigenous peoples? | No |
| 6.9 | Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? | No |
| Standard 7: Pollution Prevention and Resource Efficiency | | |
| 7.1 | Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts? | No |
| 7.2 | Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | No |
| 7.3 | Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? | No |
| 7.4 | Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | No |
| 7.5 | Does the Project include activities that require significant consumption of raw materials, energy, and/or water? | No |

Annex III: RISK ANALYSIS

| | | |
|--|---------------------------|--------------|
| Project Title: "Strengthening preparedness and response capacity" | Award ID: 00033396 | Date: |
|--|---------------------------|--------------|

| # | Description | Date Identified | Type | Impact & Probability | Countermeasures / Mngt response | Owner | Submitted, updated by | Last Update | Status |
|---|---|-----------------|----------------|----------------------|---|-----------|-----------------------|---------------|--------|
| 1 | Limited involvement of the Committee of Emergency Situations and Civil Defence in the establishment of a Unified Emergency Preparedness and Response System for emergency situations in Tajikistan. | February 2016 | Organizational | P-2 I-2 | The experts from the Ministry of Emergency Situations of RF will be engaged to create this System, including an analysis of legislation, adaptation of the Russian unified system of preparedness and emergency response to the realities of Tajikistan, development of educational materials, conduct a series of trainings for all Civil Defence authorities and members of the Commission for implementation of the Unified System also in conducting field exercises. | UNDP DRMP | Programme Manager | February 2016 | |
| 2 | Limited involvement of ministries and agencies in the creation of the unified state system for emergency preparedness and response system. | February 2016 | Organizational | P-3 I-3 | The decision of the National Platform for DRR will be obtained, obliging all ministries and agencies actively participate in establishment of the unified system. | UNDP DRMP | Programme Manager | February 2016 | |
| 3 | The lack of qualified personnel in CoES to assess the needs to conduct search and rescue operations, including equipment, training to respond effectively to disasters. | February 2016 | Organizational | P-3 I-2 | The experts of Russian Sentrospas will be involved to conduct the assessment. | UNDP DRMP | Programme Manager | February 2016 | |
| 4 | Difficulties in | | | | An official letter has been sent on behalf of | UNDP | Programme | February | |

| | | | | | | | | | |
|--|---|----------------------|----------------|------------|--|--------------|----------------------|------------------|--|
| | involving the experts from the Ministry of Emergency Situations of RF | <i>February 2016</i> | Organizational | P-2 I-2 | the UN Resident Coordinator in the Republic of Tajikistan to the Ministry of Emergency Situations of RF, requesting to deploy 2-3 experts to assist in this project. If a need be, a similar letter will be sent on behalf of the chairman of CoES. | DRMP | Manager | 2016 | |
| | Delays in procurement of heavy machinery and rescue equipment. | <i>February 2016</i> | Organizational | P-2 I-2 | For the purchase of equipment, planned for 2017, tender procedures will be initiated in 2016. Also, in Procurement Unit, one employee will fully be engaged in this project. | UNDP DRMP | Programme Manager | February 2016 | |