

PROJECT DOCUMENT
Tajikistan

Project Title: Improved DRR Policy Making Mechanism. Strengthening Disaster Risk Governance in Tajikistan (SDRGT)

Project Number: 101113

Implementing Partner: UNDP Tajikistan

Start Date: August 2016 **End Date:** July 2019 **PAC Meeting date:** 02 September 2016

Brief Description

The Strengthening Disaster Risk Governance in Tajikistan Project is a three-year effort reduce the human and material impact of disasters on Tajikistan by improving the risk governance. The project (a) expands risk governance at the national level involving the government and the international community, and (b) improves local risk governance using risk assessments, information-based land use planning and communications targeting landowners and users in selected local governments, linked to (a) increasing awareness of RBOs on water-based risks and (b) linking local and RBO-level water-based risk management. The project incorporates a gendered perspective into improving risk governance, particularly in work at the district level. The project will be implemented with Committee of Emergency Situation and Civil Defence, Ministry of Economic Development and Trade, Agency for Reclamation, Committee of Environmental Protection under the Government of the Republic of Tajikistan, RBOs and districts of Kulob, Vose, Hamadoni and Kanibadam, and in synergy with SDC-funded projects managed by Helvetas (Kanibadam) and Muminabad (other three districts).

Contributing Outcome (UNDAF/CPD, RPD or GPD):

Outcome 6: 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.

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.

Total resources required:	778'097 CHF	
Total resources allocated:	UNDP:	187'073 CHF
	SDC:	591'024 CHF
	Government:	
	In-Kind:	

Agreed by (signatures):

Government	UNDP
Mr. Rustam Nazarzoda, Chairman	Mr. Jan Harfst, Country Director
Signature: 	Signature: 
Date: 10.11.16	Date: 12/10/2016

List of Abbreviations

BPPS	Bureau for Policy and Programme Support
CBO	Community Based Organisations
CoES	Committee of Emergency Situations and Civil Defence
CP	Communities Program
DCC	Development Coordination Council
DDP	District Development Plan
DRR	Disaster Risk Reduction
DRM	Disaster Risk Management
DRMP	Disaster Risk Management Programme
EbA	Ecosystem-based climate change adaptation
IMAC	Information Management and Analytical Centre
MEWS	Monitoring and Early Warning System
MEDT	Ministry of Economic Development and Trade
MLO	Micro-Loan Organisations
MTDP	Medium Term Development Programme
NDRMS	National Disaster Risk Management Strategy for 2010-2015
NGOs	Non-Governmental Organizations
NDS	National Development Strategy
REACT	Rapid Emergency Assessment and Coordination Team
RBO	River Basin Organization
SDC	Swiss Agency for Development and Cooperation
UNDP	United Nations Development Programme
OCHA	United Nations Office for the Coordination of Humanitarian Affairs

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1. Project Context

Country Overview

Tajikistan is a landlocked country with a total population of 8.6 million, with 71% of the population living outside major cities.¹ With a per capita GDP of 1,036.3² in 2013, Tajikistan is considered the poorest former member of the Soviet Union, with economic and social development severely affected by a civil war from 1992 to 1997.

Up to 93 % of land in Tajikistan is mountains or foothills³. As a result, settlements, and farming and other livelihoods, are concentrated in very limited flatter areas, usually at the foot of mountain slopes subject to debris flows and avalanches, and in the lower floodable sections of rivers and streams.

An increasing population (2.4% average annual growth rate) and increasing demand for housing, other infrastructure, and agricultural lands is contributing to the expansion of intensive land use into increasingly marginal and hazardous locations such as steep hillsides or mountain river outflows, creating a significant challenge for sustainable development due to hazard-related losses.

An expansion of herding since independence has also contributed to over-exploitation of foothill pastures. The general understanding is that this over-exploitation has led to increased erosion and environmental degradation. Over-harvesting of forest resources is also understood to be contributing to increased erosion and environmental degradation. This overexploitation of natural resources is understood to have increased the likelihood of mud and debris flows and flooding.

Disasters in Tajikistan

Data from the Government of Tajikistan's Committee of Emergency Situations (CoES) indicates that disaster-related losses averaged just over 28 million USD (27'076'000 CHF) annually from 1997 to 2014 in Tajikistan. While in absolute terms, these losses can be considered small, they are significant for a country with a per capita income of close to CHF 1,000. However, the real impact lies in the fact that most disaster damage is in the form of the loss of buildings and possessions, which disaster survivors had taken years to accumulate. Replacing these losses, even if these possessions have relatively limited value, is a significant burden on a largely poor population, particularly in rural areas where poverty is greatest.

The data indicates that over the last two decades, mudflows⁴ were the deadliest and damaging disasters affecting Tajikistan, followed by avalanches. Mudflows, avalanches and other climate-hazard related events (e.g., snowfall, strong thunderstorms, flooding, heat waves, etc.) are likely to increase as Tajikistan's climate changes through 2100.⁵ This will place greater burdens on local hazard and water system managers to reduce climate-related impacts.

It is unclear whether drought will also increase as the climate changes. It appears that Tajikistan's access to irrigation water has been sufficient to buffer seasonal and annual drought in general, although impacts can be significant in upland areas (e.g., grazing zones or rain fed crops). Experience does indicate that damage to irrigation systems from flooding and mudflows reduces the effectiveness of irrigation in Tajikistan. Thus, while drought frequency may not increase as the climate changes, the ability of irrigation systems to deliver adequate water during seasonal and annual drought periods is likely to be impacted by floods and mudflows, increasing risk management requirements on water management organizations.

1

<http://data.worldbank.org/indicator/SP.RUR.TOTL/countries?display=graph%20tajikistan%2C%20public%20spending%20on%20education%2C%20total%25%25%25%252525252028252520of%20gdp>.

² United Nations Statistics Division (<http://data.un.org/CountryProfile.aspx?crName=TAJKISTAN>).

³ <http://www.unicef.org/tajikistan/overview.html>.

⁴ Mudflows are distinguished from flooding by the fact that they carry significant volumes of silt, soil, stones or boulders ("debris"), generally travel relatively short distances and occur in narrow valleys. Flooding is distinguished by lower levels of debris, longer flows and affecting larger valleys.

⁵ Third National Communication – http://unfccc.int/resource/docs/natc/tjknc3_eng.pdf

Earthquakes occur regularly and tend to affect larger areas than mudflows or avalanches, and thus, as single events, present a broader threat to society as whole. The average earthquake does not result in significant damage or fatalities, but can cause damage to critical infrastructure such as irrigation systems, which can be mitigated through seismically sound engineering. At the same time, seismic events have a significant long-term risk for catastrophic damage at levels far exceeding anything experienced in Tajikistan since independence. While the rate of seismic events is not expected to increase in the future, increasing urbanization and expanded house construction in urban and rural areas may lead to greater earthquake damage than in the past.

The disaster data presented by CoES is aggregated to the district level and thus provides a limited perspective on the actual locations where disasters have been more frequent in the past. Most disasters, and generally most mudflows, are expected to take place in rural areas, if only because of the heavily rural nature of Tajikistan. Urban areas can be expected to be more at risk from earthquakes than flooding due to higher population densities leading to more people who can be affected by damaged buildings and urban services.

At the same time, the single most significant loss of life from a disaster in the last decade was the mudflow and flooding in Kulob, where poor maintenance of urban infrastructure and a lack of risk-sensitive land use contributed to the loss of life and significant damage. As a result, there is a need to localize risk assessments and risk reduction actions to ensure broad assumptions can be confirmed with locally developed data.

Data is not available on the gender-specific impact of disasters. However, it is understood that increased male labour out-migration has resulted in an increase in the percentage of females in the rural population, a priori making these females more likely to be at risk. In addition, the likelihood that females spend considerable portions of day in and around housing makes them a priori more at risk from earthquakes, which damage buildings or flooding, and mudflows affecting settlements, which have expanded into these hazard zones. Finally, the increased labour migration may be leading women and girls to take on traditional roles, such as herding, which place them in untraditional at risk situations, such as in avalanche or rock fall zones.

The understanding of gender-based engagement in risk management has been evolving. The traditional view has been that men and boys engage in hazard reduction activities, with women and girls as bystanders. However, community-based risk reduction projects (e.g., through Swiss or DIPECHO funding) have increased the engagement of women and girls in defining and planning risk reduction activities (e.g., making sure flood control channels were safe for schoolchildren). Where male labour migration is significant, women have engaged directly in hazard management activities such as working on flood control structures as well as become parts of local rescue teams.

Increased emphasis has also been placed on the role of women in building resilience through economic growth and asset acquisition. An example is the UNDP-funded DRR Funds initiative, where loans are targeted to women with the specific intent to build their resilience base. (Repayments of these loans are used to support risk reduction projects.) The engagement of women and girls in risk governance is expected to expand, in part due to male labour migration but also the increasing realization that women do have critical practical roles in reducing risk.

National-Level Disaster Risk Governance

UNDP's concept of risk governance is provided in the box below. In the Tajik context, we see risk governance as focusing on the process by which the Government, the country's residents and external partners, create and use legal and social constructs which enable these stakeholders to take a range of actions to reduce risk.

Tajikistan has a range of laws, regulations and rules to manage disaster risk. An analysis of the legal structure, funded by SDC,⁶ indicated that laws and regulations related to managing disaster risk are extensive and cover most aspects required for effective disaster risk management. However, there appears to be:

- Poor integration of risk management across the governance process and,
- Gaps in how disaster risk should be integrated into the development process, at local and national levels.

Reforming the legal basis for disaster risk governance in Tajikistan would be useful, but the complexity of the current laws, regulation and rules makes this process exceedingly complicated and time consuming. Complexity is increased by the lack of a clear delegation of authority for risk management within the Government (discussed below) to lead this legal reform process.

The National Commission on Emergency Situations⁷ groups relevant government ministries, agencies and committees into a single disaster management structure for the country. Subsidiary Commissions with a similar composition exist at the Provincial/Oblast and District levels and are responsible for managing disaster risks at their respective levels.

The Commission structure presents a *whole-of-government* approach to preparing for and responding to disasters, a general good practice in terms of disaster response. A **Law on the Unified System for Disaster Preparedness and Response**, approved in late 2015, provides an integrated legal structure for coordinating preparedness and response.

A National Platform for Disaster Risk Reduction was established in 2012 with SDC support and is an advisory part of the National Commission on Emergency Situations. The Platform is composed of deputy ministers, and a subsidiary Expert Group of Government officials.

The Platform is an internal structure of the Government. While external parties (e.g., donors, NGOs) are invited to Platform meetings, the work of the Platform itself is not linked to the wider international community in Tajikistan. The Expert Group is reported to be useful in enabling specialists to cross discipline boundaries when discussing risk reduction and related issues.

The Platform has reviewed and approved a number of documents related to risk reduction (e.g. a **DRR Integration Guidance**). It has also engaged in learning from international experience on risk reductions, through for instance, SDC-supported engagement in the Sendai process and attendance at the Fourth Session of the Global Platform for Disaster Risk Reduction and the Regional Consultation - Post-2015 Framework for Disaster Risk Reduction (also see Previous Results and Lessons, below).

The Government and other stakeholders are developing a new strategy for disaster risk management, linked to efforts initiated under the **2010-2015 National Disaster Risk Management Strategy**, and the **Sendai Framework for Disaster Risk Reduction**. The National Platform for DRR established a working group on developing a new strategy in June 2016, an action preceded by broad consultation on the need for and direction of a new strategy funded by SDC. The new strategy should cover 2016 to 2030 and focus on broad outcomes in line with the **Sendai** priorities, while using a rolling implementing process, overseen by the National Platform, to better match funding to specific risk reduction initiatives. (A mismatch between funding and objectives was an important issue noted with the **2010-2015 Strategy**.)

Disaster Risk Governance

UNDP defines disaster risk governance as “the way in which public national and regional levels cooperate in order to manage and reduce disaster and climate related risks. This means ensuring that sufficient levels of capacity and resources are made available to prevent, prepare for, manage and recover from disasters. It also entails mechanisms, institutions and processes for citizens to articulate their interests, exercise their legal rights and obligations, and mediate their differences”

<http://www.undp.org/content/undp/en/home/librarypage/crisis-prevention-and-recovery/strengthening-disaster-risk-governance.html>

⁶ National Strategy of the Republic of Tajikistan on Disaster Risk Management for 2010-2015: Analysis of Legislation Related to its Implementation and Recommendations, Dilbar Turakhanova.

⁷ The Commission structure was reformed at the end of 2015.

Four specific challenges exist with the current national risk governance structure.

First, no one is clearly responsible for cross-government coordination of risk governance or for guiding the broader range of actions necessary for effective disaster risk management at policy and operational levels. The National Commission on Emergency Situations predominantly focuses on preparedness and response.

CoES has historically been the Government counterpart for community-focused DRR projects. However, DRR is not specifically part of CoES' mandate and the implementation of the **Unified System Law** is likely to increase CoES' internal focus on preparedness and response, at least in the short term.

The National Platform could engage more directly on coordination and planning. However, it requires clear direction from the Government if these efforts are to be effective at the intra-government level and expand to considering externally funded undertakings. In the current governance system, this can best be accomplished by assigning oversight responsibility for DRR to a specific official within the Government structure. UNDP has already raised the need for a focal point with the Government, but further, actions that are more concerted are needed.

Second, disaster risks are not systematically integrated into the design and implementation of Government and externally funded development efforts. Such integration is a key focus of the **Sendai Framework**. There is a legal expectation that all Government or externally funded development efforts comply with relevant norms, standard and regulations which, as a package, are intended to reduce the risks.

However, there is no external verification that this is, in fact, the case, and no clear expectation as to the extent risk management expected from development efforts for Tajikistan. For instance, one large international organization has not always complied with environmental review regulations in Tajikistan, where such reviews are intended to identify and address environmental risks. Accountability that risks are being assessed and managed correctly is a major gap in the current risk governance process.

In addition, development efforts are often siloed from risk reduction oversight. For instance, the Committee on Environmental Protection's (CoEP) remit includes climate change, but adaptation efforts are not formally coordinated with disaster risk reduction efforts in such areas as severe weather forecasting. This gap is demonstrated by the Pilot Program Climate Risk (PPCR), which engages directly on climate-related hazards (e.g., improving severe weather forecasting) but has not been actively coordinating with other climate-based risk management efforts, for instance through the National Platform Expert Group.

While the National Platform provides an intra-government modality for technical and policy discussions, it can only recommend further actions to the government at large and does not report to someone who has clear official (e.g., by decree) responsibility for DRR across the Government. The Platform does not currently have the remit to engage in verifying that development projects incorporate risk reduction (critical to improving risk governance), and links between risk-related development projects and DRR policy and priorities are not clear and efficient.

Third, there is no mechanism for formal multi-lateral dialogue between the Government and international community on developing and implementing a common approach to disaster risk.

REACT is predominantly focused on operations-level risk reduction, relief, recovery, and not high-level DRR policy dialogue. The Development Coordination Council (DCC) does not have a topical working group covering disaster risk reduction. Earlier attempts by SDC and UNDP to include DRR in the DCC structure were truncated when the focus shifted to the water sector alone. DRR had been grouped with water issues since many hazards in Tajikistan are water-related.

While the Chairman of the Platform or the Chairman of REACT can be engaged in discussions in disaster risk, their remit for discussions with external parties, and to engage the Government based on these discussions, is unclear. In the absence of a clear high-level coordinating process, and clear government counterpart for this process, confusion can develop about who is doing what, inefficiencies can develop

(i.e., donors planning the same projects with different parts of the government), and opportunities to secure funding, particularly on addressing climate-related hazards can be lost.

Fourth, the private sector (including elements of civil society) is not well integrated into the overall disaster risk governance system. The private sector plays a major role in future risk reduction through risk-aware private sector development, particularly in the construction, transport (travel and road operation and construction sub-sectors) and agricultural sectors. At times, these efforts are funded by the Government or externally, but in other cases, such as housing construction, private sector efforts are heavily reliant on private financing.

Better integrating the private sector into the risk governance process requires:

- A better understanding by stakeholders in the Government as to the role the sector plays in risk generation or reduction, and
- An understanding by the private sector of their role vis-à-vis risk management.

A risk-aware private sector can become an effective element of the risk governance structure and reduce risk management costs imposed on the Government.

District-Level Disaster Risk Governance

District governments are primarily responsible for managing the disaster risk governance processes at the intersection of risk and people's lives. This is done through regulating and managing land use, operation and maintenance of infrastructure (e.g., repairing drainage or water systems) or construction of risk management systems (e.g., river training embankments), and as well as disaster planning and community awareness and preparedness. Broadly, UNDP has noted a strong historic tendency to actions to address hazards (e.g., building embankments to prevent flooding) without sufficient attention to risk governance (e.g., ensuring the embankments can be maintaining, or simply preventing construction in flood zones).

Risk governance work at the District level is supported by a range of actors, including the Agency for Land Reclamation and water user organizations, who share responsibilities for water supply systems, the Ministry of Transport and Communications, responsible for major road infrastructure and other government agents and, in some locations, the international community, via DIPECHO funding, for instance. UNDP has been involved in local level risk governance through, among other interventions, establishing DRR Funds. Loans from the Funds are used to improve resilience (including directing loans to women) and loan repayments are used to support local risk management through a hybrid government-civil society management structure.

Although regulating and managing land use are key tools in disaster risk governance, they do not appear to be uniformly implemented by local government. Commonly cited examples include:

- Expanded construction of housing into high risk areas,
- Limited oversight of building methods and,
- Unclear procedures for integrating risk into infrastructure design.

This situation contributes to an increase of risk at the community level through a failure of risk governance. This “new” risk is being created on top of the “historical” risk, arising from a lack of maintenance of critical infrastructure by local governments and other local stakeholders (e.g., water users associations).

UNDP has worked with the Ministry of Economic Development and Trade on improving District level disaster risk planning, but the degree to which this planning has been turned into actual risk reduction is not clearly documented. UNDP and others (e.g., CARITAS, OXFAM, Mission East, etc.) have developed and conducted risk assessments at or below the District level.⁸ However, the uptake of this disaster risk management information into **District Development Plans**, and the implementation of local-level disaster risk reduction measures is not clear and may not be consistent.

⁸ The UNDP-supported risk assessment process was funded by SDC.

Drawing from experience working at the District and jamoat levels in both development and disaster management context, the use of disaster risk information appears to be limited for three inter-related reasons:

1. Hazard and risk information is generally not available or provided in a format, which is unusable, to the general user. For instance, specialist assessments are made to identify where households should be moved from potential landslide zones, but these assessments may not also cover flooding, leading to a piecemeal understanding of local hazards and risks (and potentially moving households from one hazard to another).
2. Local governments, and particularly the more isolated or poorer ones, lack the technical means to use available information in a systematic manner (e.g., land use geographic information systems) or to effectively share this information across government or to those at risk.
3. Local governments frequently lack the human capacities to analyse, synthesize and update hazard and risk information, making the use of even one-off risk assessments difficult and leading to these assessments becoming outdated and increasingly useless as conditions on the ground change with time.

Local governments do face considerable gaps in terms of funding for risk management. However, without accurate and usable risk information, local government cannot effectively use their limited resources to efficiently reduce risk, or use this information to leverage additional funding.

Further, risk information (e.g., maps of flood zones) does not easily circulate to those at risk. Some organizations, such as FOCUS and Caritas, have developed community-level hazard or risk mapping and are using this information for disaster preparedness and risk reduction. However, this type of information is not widely available, a fact which significantly limits people's ability to take risk-informed decisions on house construction, farm development or other livelihoods.

UNDP, with earlier SDC funding, has worked with the Government to develop a risk assessment process. The process has been reviewed by national and international experts and been adjusted by a UNDP expert in 2015. The National Platform has approved the process. The remaining task is to begin mainstreaming the process at the District level to generate usable risk information, recognizing that such mainstreaming itself can take time and needs to focus on learning and problem solving.

In sum, local level efforts to reduce disaster risks could clearly be improved with additional funding. However, more funding does not alone mean better risk governance. The barriers to improved local risk governance include (1) limited locally available information on risks, (2) limited means to collect, analyse and use this information, and (3) limited circulation of this information to risk-impacted populations who can use this information to make better-informed decisions on how the risks facing them can be managed. Note that these users include individuals and well as private sector enterprises and development projects.

Water Sector Reform

Given the significance of water-related hazards as disaster triggers in Tajikistan, the development and implementation of the Water Sector Reform is significant for disaster risk governance at and below the District level and across multiple districts. The reform recognizes the importance of water-related hazards such as mudflows and drought, but takes a primarily structural approach to risk management with some attention to warning.

The Reform document cites a need for a “classification of tasks in the field of protection from flood and river bank protection and create a reliable system of forecast and preparedness at the national, basin and local levels”. Further, there is a need for the “development of technical and organizational capacity (logistics) for the management of emergency situations, combined with economically reliable mechanisms for effective response to emergency situations”.⁹

⁹ Paragraph 34, Water Sector Reforms Programme of the Republic of Tajikistan for 2016-2025 (*Unofficial Translation!!!*)

As the quote above indicates, the Reform does note a need for post-disaster response. Further, River Basin Organizations (RBOs) have responsibility for “development of plans to reduce the effects of drought and flooding and monitoring of their implementation:”, and “monitoring of the state of the riverbanks and works related to their protection from flooding and determination of repairs needed at the level of basins and sub-basins.”¹⁰

These responsibilities can be read to incorporate risk reduction. But it is not clear the degree to which traditional hazard management tools such as land use planning or emerging tools such as Ecosystem-based climate change adaptation (EbA) or eco-system DRR, are to be considered in the development and implementation plans.

RBOs effectively have overlapping responsibilities for water-related disaster risk management with District (and possibly Province/Oblast) authorities as well as with regulations which require disaster planning at the enterprise (e.g., water user association or commercial farm) level under the new **Unified System** Law. This makes the cost and practicality of RBO-based plans a critical issue – these plans can be well elaborated and incorporate advanced approaches only to run into Districts, which lack the funds and capacities for their implementation. Alternate risk management options, such EbA and ecosystem DRR, need to be part of the RBO planning process.

There is a clear need for comprehensive, comparable, risk assessments covering water related hazards. These risk assessments provide all parties involved, from the farmer using irrigation water to the RBOs and donors a common understanding where water posed a threat to lives and livelihoods. While these assessments can be done on the District basis, the need to be linkable across districts at the watershed level is not a small task. In addition, these assessments need to lead to the identification of effective risk mitigation measures, or the information generated is of little use.

An example of the challenges faced in a watershed approach that involves risk governance is the recent flooding on the Elok River (Kofarnihan basin). Flood damage in downstream Rudaki District was caused by the failure of a poorly designed embankment during high water following heavy rains in two upstream districts. Any effective effort to manage the flood risk in Rudaki District needs to include flood mitigation options in the upstream districts. This cross-border management of flood risk requires that governance systems, not only for flooding response but also for overall land use, farming, herding and other sectors, need to be considered together to reduce flood impact at some distance from where the mitigation measures are implemented.

In sum, the basin approach set out in the reform provides specific, and significant, advantages to managing water-related disaster risks. However, this management process needs to be coherent across government organizations and the private sector involved, and integrate local government land use and disaster governance responsibilities and capacities.

Information collected through risk assessments, a central step in empowering better risk governance, can contribute significantly to the management of water-related hazards at basin and sub-basin levels. Expanded use of non-traditional flood and drought management methods, such as EbA and ecosystem DRR, can complement structural flood and drought management effort by RBOs, particularly in view of limited resources Districts will likely have to address risks. The reform process and RBOs need to be sensitized as to how their planned responsibilities and activities are linked to, and can directly improve, risk governance and a reduction of flood and drought risk at and below the District level.

Gender and Risk Governance

Risk governance has a strong gender component, which has not been fully developed in Tajikistan. As noted, male migration, cultural and social practices all may contribute to increasing female vulnerability to disasters, although clear data is lacking. UN Women has been active in promoting the role of females in risk management in Tajikistan, and female empowerment has been a frequent component of community-based disaster risk management projects. UNDP also supported broader engagement of the Committee of Women and Family Affairs, Government of the Republic of Tajikistan on disaster issues.

¹⁰ Paragraph 82, *ibid.*

However, the whole process appears to be one of fits and starts with limited continuity at either the national or the local levels. Thus, while gender is at times brought into discussions about risk, relief and recovery, the national or local levels, the gender-disaster risk reduction nexus needs a higher profile and more consistent attention to have an impact on risk governance.

National and International Policy Linkages

National Development Strategy and Sustainable Development Goals

Tajikistan has developed a **National Development Strategy** for 2016 to 2030 and a “mid-term” development Programme for 2016-2020¹¹. Both documents are based on sustainable development and incorporate concepts drawn from the global Sustainable Development Goals (SDGs). Although the NDS is not structured in the same way as the SDGs, the former includes elements on disaster risk management as part of the development of housing and urbanization in Tajikistan, with a similar thrust as SDG goal 11, on making human settlements safe and resilient.

National Disaster Risk Management Strategy and the Sendai Framework for Disaster Risk Reduction

From 2010 to 2015, Tajikistan had a **National Disaster Risk Management Strategy** based on the **Hyogo Framework for Disaster Risk Reduction**. This **Strategy** incorporates the concept of integrating risk reduction into the development process. The Action Plan associated with the **Strategy** was only partially implemented, principally because of a lack of funding but also because of a lack of a focal point in the Government responsible for oversight of disaster risk management and specifically risk reduction. The **2010-2015 Strategy** focused heavily on national level actions and less on building local capacities to manage disaster risk.

A new disaster risk management strategy is being developed for 2016-2030 to correspond to the new **National Development Strategy**. The concept for the new strategy builds on the **2010-2015 National Disaster Risk Management Strategy** and the priorities set out in the **Sendai Framework for Disaster Risk Reduction**. As noted, the National Platform is establishing a working group to move the development of the new risk management strategy forward as quickly as possible.

Given the progress made under the **2010-2015 National Disaster Risk Management Strategy**, proportionally greater emphasis is needed in Tajikistan on understanding risk (Sendai Priority #1) and strengthening disaster risk governance (Sendai Priority #2). Both focus areas contribute to improving the environment for investment in resilience (Sendai Priority #3). In contrast to work from 2010 to 2015, the future strategic direction of disaster risk management in Tajikistan needs to focus relatively more on improving local knowledge and capacities for risk reduction and incorporate risk reduction into the development process.

Climate Change and DRR

As a Pilot Program for Climate Change country, Tajikistan is benefiting from direct assistance to address the impact of a changing climate. As noted, however, these efforts are not systematically integrated into risk reduction efforts, even as some climate change-related efforts (e.g., the GIZ Strengthening of Livelihoods through Climate Change Adaptation in Kyrgyzstan and Tajikistan project) directly engage in DRR activities. Climate risk management efforts are not well governed in Tajikistan.

UNDP began working with the Government and the Committee of Environmental Protection on the development of a **National Adaptation Plan for Disaster Risk Reduction** in late 2015. This **Adaptation Plan** lays out a formal process for addressing climate related hazards and related risks as they are impacted by the changing climate. The **Adaptation Plan** is currently in the final development stage, following which it will be circulated to both disaster-focused and climate-focused communities for comment and implementation. The circulation of the **Adaptation Plan** provides an opportunity for the National Platform to engage the climate sector in discussions about climate-related hazards, as well as provide a basis for periodic monitoring of the status of actions defined in the **Adaptation Plan**.

¹¹ Both NDS and MTDP are expected to be adopted in September 2016.

2. Achievements and Lessons

Achievements

Funding for SDC-supported, UNDP-implemented, disaster management-related projects since 2008 totalled of 2'966'896 CHF, of which 1'953'939 CHF (66%) came from SDC and the remainder from UNDP and other sources. (See **Overview of SDC Support to DRMP – 2008-2015**, below). From 2008 to 2015 SDC supported five projects implemented by UNDP, with three of the projects - **Support of the National Disaster Response Capacity**, **Disaster Risk Management, Planning and Coordination Capacity Strengthening at National and Local Levels**, and, **Improved Policy Making Mechanisms for Disaster Risk Reduction Initiatives** - focusing on development of risk management capacities in CoES or other institutions. Overall, these projects have moved from building capacity to respond to disasters to risk reduction and, in the proposed project, to risk governance.

The achievements of these projects are summarized in the table below. Achievements relevant to the proposed project include:

- Development of a risk assessment methodology.
Development of a methodology to integrate disaster risk reduction into development planning on district level.
- Integration of DRR into District Development Plans.
- Establishment of the National Platform for Disaster Risk Reduction and Expert Working Group.
- Integration of disaster risk management into the National Development Strategy.

Separate from these achievements, UNDP has piloted the DRR Fund (described above) in four Districts (Panjekent, Vose, Kulob and Hamadoni). This effort has provided considerable insight into the local management of water hazards (the main focus of risk reduction funding) and the development of local risk governance system.

Of significance with both the establishment of the National Platform and the DRR Funds is success in developing alternative governance structures. Before the SDC-funded UNDP intervention, Tajikistan did not have a platform-type structure within government. While introducing this new governance structure has taken time and persistence, establishing the National Platform has provided a new and contextually appropriate structure for risk governance in Tajikistan.

The Fund Management Committees used for the DRR Funds are also a new risk governance structure bringing together officials, local representatives and UNDP to make decisions on risk-focused project activities. While community-level disaster management committees have existed in Tajikistan, the Fund Management Committees are in direct control of the funds they use to for risk reduction and response.

Lessons

The following lessons are drawn from achievements in SDC-supported and other projects:

- Changing how disaster risks are governed takes time, requires developing consensus and demonstrating value-added in a context where principal actors are not naturally focused on disaster risks. Shifting thinking on risks requires constant low intensity engagement through briefings, technical support, meetings and advocacy to effect change.
- Support to local government has been heavily focused on infrastructure projects rather than government capacities to implement existing rules and regulations to reduce risk, thus reinforcing weak risk governance.
- Working with local governments can face considerable constraints in terms of human capacity, resources and engagement with at-risk populations. The challenge is not just the lack of resources per se, but weak formal knowledge as to where risk exist at what level of threat to guide decision-making.
- Guidance on developing products, e.g., District Development Plans, needs to be complemented with a focus on producing results, e.g., changes to land use planning to reduce risk.
- Government operations, and project implementation, tend strongly toward operating in silos, with little sharing of information or development of complementary approaches.

- Risk information does not circulate easily. When it circulates is not always in usable or complete form, e.g., does not present and compare all reasonable risks for a location.
- It takes time and direct engagement to improve risk awareness and a willingness in those at risk to take actions to reduce this risk.

Overview of SDC Support to DRMP – 2008 - 2015

Project Name	Period	Funding (CHF)	Purpose	Achievements
Support of the National Disaster Response Capacity in Tajikistan	12/08 to 9/11	SDC - 605'250	Increase capacity of the disaster management with regard to disaster response preparedness.	Disaster response legislation strengthened, approved and working at national and regional levels. Establishment of relationship and cooperation by CoES with UN OCHA and INSARAG, including INSARAG trainings. Heavy and light urban search and rescue equipment provided to Dushanbe SAR teams, Tsentrosipas and CoES. Establishment of permanent training facilities in Dushanbe for CoES Search and Rescue Division, Training Department Urban Search and Rescue induction course for regional SAR teams. Status of Information Management and Analytical Center (IMAC) of CoES upgraded.
		UNDP- 118'338		
Disaster Risk Management, Planning and Coordination Capacity Strengthening at National and Local Levels	6/09 to 12/11	SDC - 702'930	Reduce disaster risk level through improvement of disaster risk management, planning and coordination capacity	Unified Communication System within CoES established. Risk assessment methodology developed. DRM Training programme for CoES staff developed and implemented. DRM training programmes for University students and for principals of kindergartens developed and implemented. Computer class at the CoES Republican Training Centre established. Fundraising strategies for CoES IMAC and Training Centre developed and partly implemented. Methodology on integration of disaster risk reduction into development planning on district level developed. Disaster Risk Reduction integrated into District Development Plans of 20 districts. Disaster risk reduced in 7 communities implemented through infrastructural mitigation measures.
		UNDP - 755'737		
Improvement of Information Management in Emergencies	11/12 to 10/15	SDC - 317'163	Contribute to effective disaster risk management in Tajikistan by improving information management and coordination mechanism	Unified Emergency Call System architecture developed Knowledge and awareness of Unified Emergency Call System improved Unified Emergency Call System (UECS) operational. UECS operating conditions improved Unified Emergency Call System Public Information Campaign developed.
		UNDP - 88'703		

Improved Policy Making Mechanisms for Disaster Risk Reduction Initiatives in Tajikistan	11/12 to 10/15	SDC - 285'628	Contribute to effective DRR in Tajikistan through the systematic inclusion of holistic and streamlined DRR policy into development strategies	National Platform for Disaster Risk Reduction established, functioning and influencing DRR policy and practice National Platform Capacity Developed, Plan created. Expert Working Group established, capacitated and providing input to the Platform NDRMS implementation monitored. 2015-2030 NDRMS baseline and priorities identified Disaster Risk Management and National Development Strategy integrated. Better coordination of DRR policies and strategies by stakeholders through improved information flows between REACT and the National Platform.
		UNDP - 50'178		
Support to Mudslide Affected Population of Shuroobod District	2014	SDC - 42'968	Support mudslide-affected population, Shuroobod District	Immediate relief assistance (non-food items) to disaster affected population
Funding Summary – CHF				
Total SDC Funding				1'953'939
UNDP and Other Funding				1'012'957
Total Funding				2'966'896

3. Objectives

Impact (Goal)

The goal of the **Strengthening Disaster Risk Governance in Tajikistan (SDRGT)** Project is to reduce the negative human and material impact of disasters on Tajikistan by improving the management of these risks. The project defines the governance of risk as the process by which the Government, the country's residents and external partners create and use legal and social constructs that enable these stakeholders to take a range of actions to reduce risk.

The project uses a three year timeframe to (a) expand approaches to risk governance at the national level involving the government and the international community and (b) improve local risk governance using risk assessments, risk information-based land use planning and risk communications targeting land owners and users by selected local governments. These efforts are linked to (a) increasing awareness of specific river basin organizations (RBOs) on managing water-based risks (e.g., floods and drought) at and below the watershed level, and (b) linking local and RBO-level water-based risk management. The project will incorporate a gendered perspective into improving risk governance, particularly in work at the district level.

The effort to improve risk governance at the national level is based on a hypothesis that targeted authorities and agencies accept that risk governance is essential for sustainable development but that the link between risk reduction (as opposed to disaster response) and development are not clearly understood given the historical division between development and disasters sectors. The recent **Sendai Framework**, which confirms the need to integrate risk reduction into development as a global priority, will be used as a starting point for change-of-concept discussions with key decision makers.

Work at the local level under the project is based on the hypothesis that insufficient information constrains effective problem solving. By improving the availability of information on disaster risks, the governance of these risks will improve other factors being equal. As noted, effective risk governance is seen as required for effective actions to reduce risk.

The project is considered as a lead into further work at the national and local levels in the context of the **2016-2020 DMRP Program Document** (discussed below), the emerging 2016-2030 **National Disaster Risk Management Strategy** and linked **Sendai** priorities to 2030. Project activities build on earlier SDC-funded work establishing the National Platform and risk assessment process, and UNDP-supported work on risk management at the sub-national level.

Outcomes, Outputs and Activities

Outcome One: National government has improved governance of natural risks and is actively engaged in risk management

This outcome will demonstrate a broader cross-government engagement in risk management by moving beyond the current focus on preparedness and response to strengthening risk governance as an overriding concept.

Output One: National Focal Point for Disaster Risk Management appointed and engaged

This output will be achieved by Government designation of disaster risk management coordination as a specific job responsibility of a senior government official, and active engagement of this official in cross-government coordination and on addressing disaster risk with government and other counterparts. The DRM Focal Point is expected to work through the National Platform

on intergovernmental coordination as well as with the international community on risk governance policy and risk reduction funding.

Activity 1.1: A policy brief on need for a DRM Focal Point.

This activity will develop a background note defining the need for the DRM Focal Point for consideration by the Government.

Activity 1.2: Engage in a high-level dialogue with the government and key external stakeholders (via the DCC if appropriate) on the need and impact of a Government DRM Focal Point.

This activity, led by senior UN and UNDP management together with other donors,¹² will advocate with the Government on the need for a DRM Focal Point

Activity 1.3: Technical support to the DMR Focal Point on improving risk governance in government operations and external assistance.

This activity will provide research, analysis, briefing notes and advice to support the Focal Point in improving cross-government risk governance and in engaging the international community in improving risk governance. This work will be in conjunction with the National Platform Secretariat and involve the Platform Expert Group as well as REACT members to identify specific improvements in risk governance.

Output Two: National Platform for Disaster Risk Reduction and Expert Group Strengthened

This output will be achieved through specific actions that empower Platform members and Secretariat to engage in risk governance policy and practice, with these efforts sustained as part of normal government process by the end of the project.

Activity 2.1: Broaden the engagement of key government, private sector and external organization actors in disaster risk governance in Tajikistan.

This activity will be accomplished through discussions, topical meetings and development of policy notes focusing on broadening the scope and involvement of stakeholders in risk governance. This activity will include a specific focus on gender and disaster risk governance.

Activity 2.2: Expand and integrate the private sector into the disaster risk governance process.

This activity will be implemented using meetings, field trips, topical discussions and background notes to demonstrate the importance of the private sector vis-à-vis risk governance. These efforts will focus three sectors, construction, transport (travel and road operation and construction sub-sectors) and agriculture, where improved risk governance will have the greatest impact.

Activity 2.3: Integrate Platform Secretariat functions onto normal Government operations through an official decision.

This activity will focus on the administrative procedures and operating requirements for making the Secretariat a normal part of Government administration able to serve Platform and Focal Point needs. Lessons from integration of the UNDP-supported Monitoring and Warning System project will be used in this activity.

Activity 2.4: Improve intra-Platform and Platform-project technical exchanges to build practical understandings of risk governance impacts and opportunities.

¹² We expect that the World Bank, Asian Development Bank and SDC will also be engaged in this advocacy, but it will be led by the UN on behalf of the international community.

This activity will use meetings, seminars and field visits to projects sites to expand the understanding of risk governance in practice. This activity will specifically consider the risk governance aspect of climate change adaptation.

Activity 2.5: Increase Platform and other stakeholder awareness of risk governance approaches used outside Tajikistan.

This activity will include study tours and hosted risk governance-related events in Tajikistan to expand participant awareness of risk governance as implemented outside Tajikistan, providing input to discussions on how to improve risk governance in the country.¹³

Outcome Two: Stakeholders in targeted Districts using risk information in decision-making.

This outcome builds on earlier risk assessment and management experience to empower local stakeholders (including private sector actors) to better use risk information as part of local development and to identify the most significant risks facing communities.

Output Three: Disaster risk assessment results integrated into local risk management

This output will be achieved through developing information on risks and ensuring that stakeholders are aware of, and understand this information. At the local government level, the focus is on using this information to improve local risk management planning. For other stakeholders the information (including risk management plans), builds risk awareness and actions to address salient risks.

Activity 3.1: Conduct risk assessments.

The project will support four district governments to use the National Platform-approved methodology (initially funded by SDC) to conduct risk assessments under different risk management and governance challenges.¹⁴

Activity 3.2: Integrate assessment results into District Development Plans (DDP) and land use planning.

The activity will train local officials to use risk assessment results and specifically how their used in risk-aware land use planning and sharing results with those at risk. Where necessary, equipment for this work will also be provided. The activity will work in collaboration with UNDP's Communities Program (CP), which will be supporting revisions or development of new DDPs.

Activity 3.3: Assess the impacts, costs and benefits of risk assessment data and analysis on DDPs.

This activity will consider how the availability of current risk information impacts the current DDPs and how this information, using cost-benefit analysis, improves the District-level planning process.

<p>Risk Information Benefits at the Local Level</p> <p>Improved risk information will allow District officials to better guide local development decision making to avoid risks, or incorporating risk mitigation into planning. These results can come in the form of clearer inclusion of risk and avoidance/mitigation requirements in DDPs, as well as in approval of specific development (e.g., housing development) proposals or plans.</p> <p>In a similar manner, dissemination of risk information will allow individuals to make better informed decisions on how to manage documented risks. This can mean that a woman would be aware that an expansion of her truck garden could be subject to flooding, or a new house builder will need to anticipate mudflows in placing a building on a plot of land.</p>

¹³ This activity is a continuation of earlier SDC-funded study tours, particularly to Germany, where risk governance was a major theme in the meetings held.

¹⁴ Assessment results will be gender disaggregated and gender-based information will be incorporated into risk information.

Activity 3.4: Disseminate risk information to stakeholders and engage in discussions on use of the information to manage risks.

The project will develop a process to communicate risk information to stakeholders (including the private sector) and educate how this information can be used for different types of risk management decision making. Following feedback, the process will be disseminated via the National Platform and REACT to others involved in risk governance. The activity will also include gender-focused training on the use of risk information.

Output Four: Selected River Basin Organizations and Districts integrating water-based risk information into common risk governance planning and activities.

This output will be achieved through activities that build awareness within RBOs on water-based risks and establishing links between the selected Districts and their respective RBOs.

Activity 4.1: Detailing the role of an RBO role vis-à-vis water-related hazard management.

This activity will analyse how RBOs can engage in managing flood, drought and other water-related hazards, and how these efforts relate to local government and government agency responsibilities. Results will be shared with RBOs and other stakeholders. The activity will also include a training on gender and water-related hazards.

Activity 4.2: Develop a common water-related hazard management structure connecting selected Districts and respective RBOs.

This activity will use the results of Activity 4.1 to define a structure for collaboration between RBOs and districts on managing water-related hazards, including mechanisms for intra-watershed cross-administrative boundary water-related hazard governance (e.g., flood management plans and interventions across several districts in one watershed).

Activity 4.3: Build RBO and local stakeholder capacities in alternate approaches to water-related hazard management.

This activity will train RBO members, local government and other stakeholders on alternate approaches to water-related hazard management such as EbA and ecosystem DRR, as well as climate adaptation for use in RBO planning and local risk management efforts. (The project will not fund any DRR activities itself, but will endeavour to secure funding for such activities from other sources.)

A Logical Framework covering these outcomes, outputs and activities is found in Annex 1.

Target Areas, Populations and Counterparts

Target Areas and Populations

In terms of Outcome 1, the generalized target area will be the country as a whole, with specific targeted individuals coming from the government, private sector and international organizations based largely in Dushanbe.

In terms of Outcome 2, the project will target five districts, which represent different risk management and risk governance challenges. A summary for districts and the target populations are provided below.

South-Central Tajikistan: Vose, Hamadoni and Kulob Districts: Total target population: 425,900.¹⁵ UNDP has been working in these districts on risk management for several years, most recently through

¹⁵ Gender breakdown of District-level populations is not available.

the DRR Fund mechanism¹⁶, and has an understanding of local water and climate-related risks and risk governance issues. This target area includes Kulob, which provides a risk governance challenge different from that found in rural areas, but one, which includes growing semi-rural areas. The selected Districts are down-stream along the Yaksu and lower Kyzilsu basins from the Muminabad District, where SDC supports Caritas on watershed management practices. Bringing the four Districts together provides for synergy between projects and specific interventions. Engagement across the four Districts also provides a more diverse base for engaging with the RBO than when working with one District.

Counterpart organizations include local government, water user’s organizations, Caritas, other NGOs active in the area (e.g., Oxfam), Micro Loan Organization (MLO) Rushdi Vose, RBO Vakhsh and community based organizations (CBOs), ADB and the RBO.

Syr Daria Basin: Kanibadam District: Total target population: 146, 300, UNDP has previously engaged in flood risk reduction and livelihoods resilience building in this District, which presents a number of climate and water-hazard management challenges associated with drought, flash flooding from Kyrgyzstan and management of water from the Kayrakum Reservoir. The project expects to work with the local government, RBO Syrdarya, water user’s associations, GIZ, ACTED, UNDP’s water and cross-border peace-building projects, CBOs and NGOs based in Sughd Province engaged in agriculture or other livelihoods support efforts. Work in the District is expected to benefit from the SDC-funded Helvetas project in the Ak-Su drainage to the west, which provides a broader base for engagement with the RBO (itself at a more advanced state of development than the other RBOs).

Stakeholder Analysis

The following table provide an analysis of stakeholders who will have a direct stake in the project. In addition, the project expects to engage a range of CBOs, local organizations and NGOs, a well as private sector representatives, in capacity building, consultations, risk information dissemination and defining ways to improve risk governance.

<i>Stakeholder</i>	<i>Interest/ Commitment to the Project</i>	<i>Capacity for change (and possible contribution to project)</i>	<i>Actions of project to strengthen capacity of stakeholder</i>
<i>Communities at risk</i>	Population living in hazard-affected areas are expected to be interested in reducing existing and future risks.	Moderate capacity for change defined by Maslow’s pyramid: basic immediate needs are priority over longer-term change. Change takes place slowly and needs to be driven by immediate concerns. Communities can provide inputs into land use planning and risk assessment processes.	<ul style="list-style-type: none"> • Developing risk assessments which response to local needs. • Public education. • Sharing knowledge.

¹⁶ The DRR Fund provides multi-year financing for DRR activities identified by the affected communities.

<p><i>District governments</i></p>	<p>With primary responsibility for disaster risk reduction, district governments will gain from improving risk governance to make their work more effective.</p>	<p>Moderate capacity for change when provided with usable risk information but constrained by other external factors (e.g., income and budgets).</p> <p>Provide institutional and physical location for local project implementations</p>	<ul style="list-style-type: none"> • Provision of risk information • Support for land use planning integrating risk information. • Coordination with RBO on water and flood management.
<p><i>Agency for Land Reclamation</i></p>	<p>Risk information will reduce impact of disasters on land reclamation infrastructure, making Agency work more effective.</p>	<p>Moderate capacity for change based on heavily structural bias to risk management.</p>	<ul style="list-style-type: none"> • Expand use of risk information for asset management • Linkage to RBO and communities on flood management.
<p><i>Ministry of Energy and Water Resources</i></p>	<p>Interest related to implementation of water sector reform and establishing flood and drought management role of RBOs.</p>	<p>Moderate capacity to change and take on policy support role for flood and other RBO-related water hazards, including drought.</p>	<ul style="list-style-type: none"> • Engagement on policy issues related to RBO roles on flood and related hazards. • Clearer definition of responsibilities between MERW, Agency for Land Reclamation, CoES, CoEP, RBOs and local government on flood and drought management.
<p><i>Ministry of Economic Development and Trade</i></p>	<p>Improved DDP content and implementation, supporting MEDT responsibilities to improve local planning.</p>	<p>Moderate capacity for change, constrained by the lack of direct benefits from improved local planning to MEDT operations (e.g., staffing, resources).</p>	<ul style="list-style-type: none"> • Improvements in guidance from MEDT to Districts on planning and risk assessment.
<p><i>Committee of Emergency Situation and Civil Protection</i></p>	<p>Improved risk management at local level.</p> <p>Strengthening role of CoES/IMAC as leader in risk assessment</p>	<p>Moderate capacity for change when provided with useful risk information but constrained by other external factors (e.g., budgets) and lack of clear mandate for DRR.</p>	<ul style="list-style-type: none"> • Development and use of risk assessments for local use under guidance of CoES • Improved disaster risk management

<i>DRR Focal Point (anticipated)</i>	Accomplishment of assigned responsibilities (can be expected to report annually).	Significant capacity for change.	<ul style="list-style-type: none"> • Providing capacity, knowledge, guidance and access to international community.
<i>National Platform for DRR</i>	Improved and expanded Platform actions and engagement on DRR.	High capacity for change if under strong leadership. Which should also strengthen Outcome One of the project.	<ul style="list-style-type: none"> • Stronger engagement of key government, private sector and external organization actors in Platform activities.
<i>River Basin Organizations</i>	RBOs have flood management responsibilities and are potential users of risk information and contributor to local hazard (e.g., flood) management.	Unknown as RBO have not been established.	<ul style="list-style-type: none"> • Improved risk information and local land use planning should improve watershed management plans and procedures related to flood management
<i>UNDP</i>	UNDP has agreement with Government to support risk management and global commitment to reduce disaster risk.	Limited capacity for change due to depth of institutional structure.	<ul style="list-style-type: none"> • Improved capacities to support local level risk governance from experience gained in the project.
<i>International Community</i>	International community is interested in building capacities and scope of National Platform while ensuring its sustainability and protecting investments.	Moderate capacity for change if under strong leadership. Which should also strengthen Outcome One of the project.	<ul style="list-style-type: none"> • Improving government and international community coordination on risk governance and risk management.
<i>Private Sector</i>	No clear interest at present; needs to be built. Likely interest over time in terms of protecting investments. ¹⁷	<ul style="list-style-type: none"> • Significant potential to use risk information as marketing tool and to shape commercial engagements (e.g., conditioning contracts on potential drought or flood impacts). • Significant potential 	<ul style="list-style-type: none"> • Demonstration of benefits for developing and using risk information to reduce economic risk and increase income.

¹⁷ Note that the initial investor may sell off an at risk asset to another investor, making the second or third owner the party concerned with protecting the investment and maintaining or increasing asset value.

		for resistance to engagement with the Government due to suspicion of Government motives.	
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Gender

UNDP has endeavoured to actively incorporate gender into disaster risk management programming in Tajikistan since 2010. The foundation of this effort is the **Integration of Gender Issues into UNDP Tajikistan Programming on Disaster Risk Management**, prepared in 2012. This document is based on the **Eight Point Agenda: Practical, Positive Outcomes for Girls and Women in Crisis**,¹⁸ which has also been a focus of UNDP efforts in disaster risk management. Specific gender-related actions related to disaster management have included a set-aside for lead funds for women under the DRR Fund projects, inclusion of gender in recovery projects and development of guidance on conflict management in the post disaster context.

The **SDRGT** project has generally indirect links to effecting changes in the way that gender, and particularly the role of women and girls, is considered in risk management. The full set of issues related to gender equality and programming are summarized in Annex 2 – Gender Equality.

At the same, the project recognizes a need to assure that gender is given sufficient attention in achieving each of the project outcomes. To this end, a gender-specific indication has been included for each outcome and funds provided for training on gender issues under each outcome as well.

4. Implementing Strategy

Under both Outcomes 1 and Two, the implementation strategy will focus on directly supporting government officials and other stakeholders, including at-risk population, as they work towards achieving the project outcomes. The *direct support approach* involves a combination of capacity building, mentoring and dialogue on critical issues, but with the onus of action on the Government counterparts.

This process will involve constant engagement between DRMP and the government and other stakeholders even when not providing technical or other support. The intent of the constant engagement is twofold: (1) Ensure that attention of the project and outcomes is not episodic based on occasional short term actions by the project, and (2) Engaging counterparts in the project efforts on a constant basis so that this process becomes engrained into the counterpart's normal workload. These approaches encourage sustainability of project efforts following the end of the project. This direct support approach has been used with the Khatlon MEWS and DRR Funds, with the involvement of UNDP's Communities Program.)

Under Outcome 1, the most significant partners for the project will be National Platform members, Government Ministries and representatives of international organizations. UNDP senior management will lead the process of engaging these partners, with the operational support of DRMP acting it a role as a facilitator using long-standing contact across the Government and with members of the National Platform and REACT.

Outcome 1 continues development of national-level risk governance initiated with the **2010-2015 National Disaster Risk Management Strategy** and establishment of the National Platform. Further work

¹⁸

http://www.undp.org/content/undp/en/home/ourwork/crisispreventionandrecovery/focus_areas/gender_equality_andwomensempowerment/eight_point_agendaforwomensempowermentandgenderequality.html

at building the capacities and scope of the Platform, a unique government body, will deepen the integration of this structure into the government and thus its sustainability.

Similarly, the success of the DRM Focal Point in discussions with the international community on funding disaster risk reduction as part of the development process will improve the sustainability of this effort. However, measuring progress in this area is difficult, because funding, the most direct indicator of progress, can take two or more years to become available. As an indicator of change, the project will use periodic stakeholder surveys to assess progress and integration into the Government structure.

Under Outcome Two, DRMP will work with the full range of local government officials as well as local stakeholders, including the private sector, development and DRR projects and those in hazard-affected locations in the selected Districts. This process is designed to bring together stakeholders to create a cross-sector consortium for improving local risk governance.

Outcome Two relies heavily on existing government and other stakeholder institutions to achieve results and improve risk governance. The intent is to avoid a process where project-work-plan-defined interventions drive activities. The preferred approach is to work to integrate project interventions into the normal governance systems at the District level to avoid a significant drop of engagement in the risk governance process once the project ends. (The governance, rather than DRR project focus of the project supports this approach.)

As noted, engaging the private sector has significant positive benefits but also significant barriers. The project will focus on three sectors, Construction, Transport and Agriculture. At the national level, the project will identify key (in terms of size or breadth of operations) actors in each sector and engage them through National Platform-based awareness raising on sector-specific risks, and the links between these risks and improved risk governance. At the District level, a similar selection process will be used for awareness raising with more specific attention to the use of risk assessment results to improved risk management at the enterprise level.

The Government role in project implementation can be summarized as follows:

1. As described below, the Committee of Emergency Situations, Ministry of Economic Development and Trade, Ministry of Energy and Water Resources, and local governments are part of the Project Board and will make decisions on implementation of the project.
2. CoES will be the direct counterpart to UNDP in implementing activities at the national (Outcome 1) level by facilitating, supporting and implementing project activities within the national government and local (Outcome 2) level by serving as a focal point (via the District CoES official) for efforts at this level.
3. The National Platform, which itself assembles a range of Government entities at the national level, will be engaged directly in both the operation of the Platform and specifically engagement of the private sector and integrating gender into the work of the Platform.
4. Local government officials will be responsible for developing (in part, through work with the risk assessment consultants), using and disseminating risk information developed through the project.
5. The River Basin Authorities, local authorities, Ministry of Energy and Water Resources and Agency for Land Reclamation will all be involved in support to the RBO process focused on improving the management of water-related hazards.

The **SDRGT** project focuses on two well define, term limited, outcomes. However, the scope of disaster risk management requires a broader coordination across several key sectors in Tajikistan, including water sector reform and local level disaster risk reduction, but also climate change adaptation and, not the least, other disaster risk management projects (e.g., as being developed by the World Bank).

To ensure adequate coordination and cooperation, the project plans two actions. First, as part of achieving Outcome 1, the project will engage with the DCC and specific sector working groups (e.g., on water) as well as REACT to improve coordination at the policy level.

Second, the project will map projects, programs, donors, humanitarian organizations, government entities (from national to local level) and other parties with a stake in one or both of the project outcomes. This mapping will be used to create a plan of format contacts with each of the entities identified at least twice, or more often, during the project. One contact will be made at the beginning and end of the project with each entity identified. Based on the closeness of linkage to the project, some entities (such as water sector reform support) will be scheduled for more contacts that are frequent (up to monthly). The results of these contacts will be included in project reporting and, where necessary, used to adjust project implementation.

5. Exit Strategy

UNDP, with a variety of internal and external support, has been working for close to a decade with stakeholders to build risk management capacity in Tajikistan. This effort will continue after the end of this project. .

For Outcome 1 - UNDP anticipates that once a DRM Focal Point (senior government official) has been established, the Government will have a full complement of disaster risk governance institutions, including the Focal Point, National Platform, Expert Group and REACT operating at the national level. At this point, the Focal Point is expected to be engaged in leading cross-government risk governance and dialoguing with external partners on risk priorities and funding and supported by the other institutions that have been developed. UNDP does not expect any further funding or project-specific engagement in this area after the end of the project: the Focal Point and Platform should be fully sustainable within the Government.

This vision will be communicated to the Government early in project implementation and progress in monitoring regularly. In discussions with the Government, the project will set at target of one-half way through the project (project month 18) for establishing the DRR Focal Point to allow sufficient time for development of the position after establishment. Normal Government procedures require approximately 12 months for discussions with and within the Government on issuing a decree. The project is allowing this 12-month plus 6 months for issuing the decree establishing the focal point given the likely need for high-level discussions on the topic. If this target is not met (the project will provide advice notice of the deadline), the Government will be advised that the project will need to be re-evaluated and consider removal of Outcome 1 in consultation with SDC.

At the same time, and particularly because of the establishment of the Focal Point and engagement of this person with key donors and international organizations, it is anticipated that discussions and support on DRM policy and overall capacity development in Tajikistan will continue but shift to a different set of actors and actions. UNDP expects to continue collaboration with OCHA and other REACT members in efforts to improve Government-International Community cooperation on disaster response, and may engage in further project-based support of the Government. However, the project will lead to a policy and operational context different from the previous decade.

UNDP anticipates continued engagement with the Government on the new National Disaster Risk Management Strategy as well as facilitating Government engagement internationally on disaster risk management, and with REACT and the National Platform after the end of the project.

For Outcome 2, UNDP plans to transition project results into a larger Government of Japan-funded project involving a significant DRR component. The anticipated project, scheduled for approval by the end of 2016, will build on the experiences and results of **SDRGT** project Outcome 2, broaden risk governance at the District/sub T district level to involve more districts, and locally managed risk reduction

activities.¹⁹ (The Japanese project may fund reduction needs identified under the **SDRGT**.) Once the Japanese funded project is approved, a coordination plan covering both projects will be developed which will include how achievements under the **SDRGT** project will be supported and extended by the Japanese-funded project.

In terms of operational sustainability at the District level, local officials will be trained in the risk assessment process and the use of the results. By the end of the project, they are expected to be competent in using risk information. However, turning this information into action, and particularly in terms of reducing risk, is heavily dependent on finances available to local government.

The assumption is that local governments will not experience significant budget reductions over the life of the project, and in the years after, and are thus able to sustain risk reduction.²⁰ This assumption will be tested during the project and consideration given to whether local governments have the real and necessary means to address the risks identified. Note that UNDP has been working on the risk finance issues for several years through the DRR Fund mechanism and will consider alternatives to a government-funded risk management if this is necessary.

6. Links to DRMP's Programmatic Focus

The Disaster Risk Management Program is establishing a program for 2016-2020. The new program focuses on four areas:

1. Reducing risks of the most significant causes of death and damage using a community driven approach with a strong risk governance component.
2. Addressing risks from emerging threats through proactive risk management.
3. Incorporating DRR into the development process.
4. Improving the efficiency and impact of post disaster recovery including improved risk reduction.

The **SDRGT** project links to focus areas 1 and 3. Based on experience from 2010 to 2015, UNDP expects Disaster Risk Management Program funding for the 2016-2020 period to be on the order of 15 million USD, with 12% coming from UNDP's own resources.

UNDP is accredited with the Green Climate Fund. Many adaptation interventions are linked to reducing or otherwise managing water-related hazards. UNDP is considering the role, which the Disaster Risk Management Program will play in climate change adaptation for disaster risk reduction. Work with the Government in late 2015 initiated the process of developing a National Adaptation Plan for Disaster Risk Reduction (DRR NAP). After the 2015 consultations, a decision was made to work further on the DRR NAP after approval of the new National Strategy for Disaster Risk Management, as the DRR NPA will support the broader National Strategy. Under current plans, further work on the DRR NAP should take place concurrent with the first six months of **SDRGT** implementation and be closely linked to work under Output 4 with the River Basin Organizations.

¹⁹ Note that the Japanese-funded project includes a number of components, only one of which is a build-out and expansion from Outcome 2. As a considerably larger undertaking, implementation is expected to be end-to-end with the **SDRGT** project.

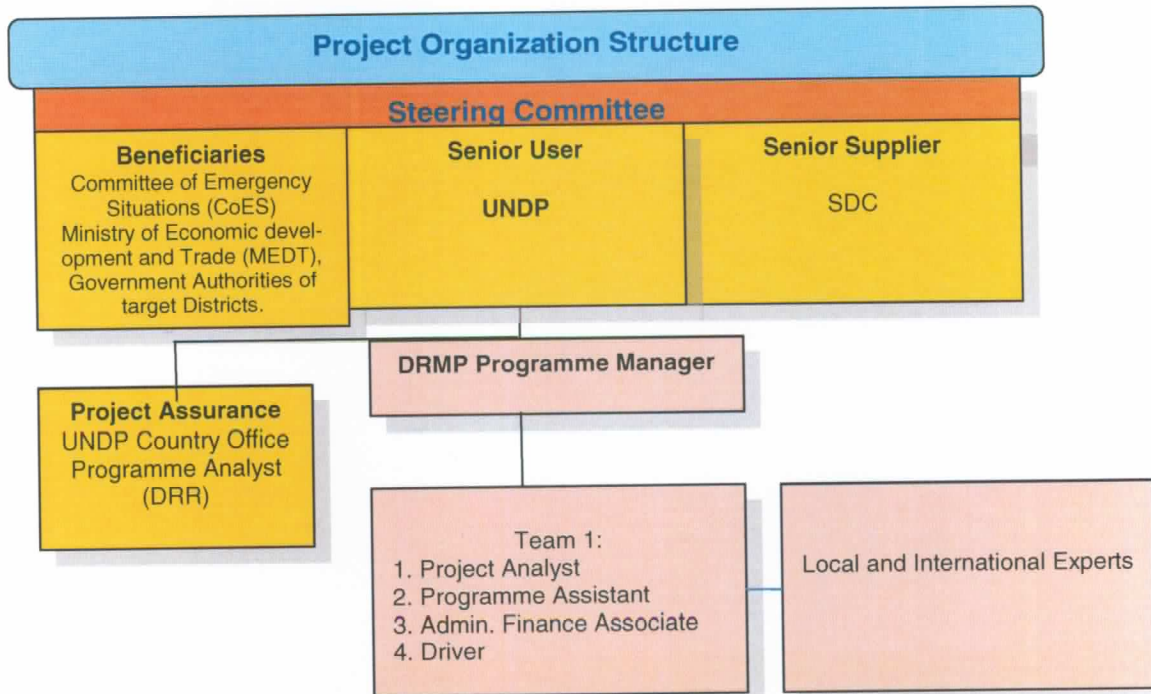
²⁰ A plan to increase DRR funding to Districts has been approved by the Platform but remains to be vetted by the Government as a whole, and funded.

Implementation Modality

UNDP has the technical and administrative capacity to assume the responsibility for mobilizing and applying effectively the required inputs in order to reach the expected outputs. The project will be implemented under a Direct Implementation Modality (DIM) whereby UNDP takes on the role of Implementing Partner. Under DIM, UNDP assumes overall management responsibility and accountability for project implementation.

According to the **Programme and Operational Policies and Procedures** of UNDP, the following policies apply under the 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, including:
 - **Financial management:** In the context of DIM, the financial software programme ATLAS is used. ATLAS is the management information system, which ensures accuracy and transparency of financial information. The 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.
 - **Financial reporting:** The financial reporting and control mechanisms used to monitor a DIM project include: 1) **Combined Delivery Report**, 2) **Project Budget Balance** and 3) **Project Transaction Detail Report**. The **Combined Delivery Report** 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 annual 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 used on a daily basis to monitor daily transactions and expenses.



A Project Board, comprising SDC, UNDP and Government of Tajikistan representatives 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.

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

Tendering and Procurement

The project will follow UNDP standard procurement procedures, available on request, as per DIM. For consulting services, UNDP will avail itself of a roster of qualified consultants maintained by the UNDP office in Istanbul.

Project Team

The **UNDP Programme Analyst** (10% of workload dedicated to the project) will be responsible for quality assurance for this project. He/she will provide general programme management support as required.

The **Programme Manager** (30% of workload dedicated to the project) will work in close coordination with the responsible UNDP Programme Analyst and under the guidance of UNDP Senior Management and refer major executive project decisions to the Project Board. The Programme Manager is responsible for overall management of project activities and providing strategic management and oversight, coordination and communication. He/she will bear responsibility for overall financial and operational accountability of the project, including budgets and ensuring strict and consistent application of UNDP rules and regulations. He/she will ensure timely and accurate submission of periodic narrative and financial reports on project activities and deliverables to UNDP, Project Board, donors, and the Government and stakeholders.

The **Project Analyst** (100% of workload dedicated to the project) is responsible for the general, day-to-day management of the project (60%) and will be specifically responsible for visibility, communication and outreach activities (40%). S/he will provide full programmatic support to the Programme Manager. The primary responsibilities of the Project Analyst will include 1) substantially support Programme

Manager in development of strategic documents, including in design and dissemination of visibility, communication and outreach materials, 2) close monitoring of project implementation against established work plan, provision of translation services (verbal and written); 5) and fulfilment of other relevant functions.

The **Programme Assistant** (50% of workload dedicated to the project) is responsible for managing DRMP activities related to day-to-day project implementation and administration issues. S/he will provide organizational and administrative support to project related missions and consultancies (arranging meeting/workshops, preparing meeting agendas/minutes, provision of translations and interpretation, keeping project records, logistics support etc). In addition, Project Assistant is responsible for maintaining effective network/communication with national (Committee of Emergency Situations and Civil Defence, relevant line ministries and agencies) and international (resident and non-resident UN Agencies, donor and other agencies) project partners.

The **Administrative/Finance Associate (AFA)** (40% of workload dedicated to the project) is responsible for all administrative tasks, including human resources, and financial management of the project in line with UNDP financial rules and regulations. As well, the A/FA provides required logistical and administrative support in organizing project-related high-level meetings and events. 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;

A **Driver** will provide driving services and will ensure safety of staff while on missions.

Further information on key project positions can be found in Annex

Local and international experts will be involved for short-term project specific assignments as detailed in the budget.

8. Resources

Budget

A detailed budget for the project can be found in the Annex 4. The following table provides an overview of expected expenditures under the project by cost area (expenditure type) and source of funding. Of the total project funding of **778'097 CHF**, a total of **591'024 CHF** is from SDC, or **76%** of total project costs.

Overall, the project budget indicates operating costs (e.g., office rent and operations) of **11%**, below the 2010-2015 DRMP average of approximately **13%**.

Resource Allocations – Key Cost Areas and Funding				
Cost Area	% of Resource Use	Funding - CHF		
		UNDP	SDC	Total
International Consultancies (170 work days over 5 consultant tasks)	15	8'159	115'133	123'293
National Consultancies (240 work days)	4	15'955.5	18'856.5	34'812
Workshops, Seminars	17	22'821.2	111'398.4	134'220

& Trainings				
Hosted regional DRR events	3	8'703	15'956	24'659
Procurement of Equipment	06	3'481	0	3'481
Risk Assessment	5	12'088	36'263	48'350
Study Tours	4	0	38'680	38'680
Local Travel	32	10'154	18'857	29'010
Support Costs	5	82'504	175'157	257'661
Visibility	5	23'208	16'945	40'153
General Management Support			43'780	43'780
Total	97%	187'073	591'024	778'097

Cost-Effectiveness

The project uses the cost effectiveness approach as described **SDC How-to-Note Financial and Economic Analysis of Projects with a focus on Cost Benefit Analysis (CBA) and Cost Effectiveness Analysis (CEA)**. The CEA approach was selected given the focus of the project on governance and activities, which involve changes to institutions and systems where economic benefits may not be clearly linked to specific interventions or not become evident for a number of years.

Since the benefits of the planned interventions are long term and, in many cases, indirect, the analysis process compares the planned intervention cost and time required to reach a specific benefit at the output level against two alternatives, one for no-action and the second an alternative output to achieve the same or greater benefit.²¹

Output 1

Proposed: National Focal Point for Disaster Risk Management appointed and engaged

Cost: 110'522 CHF

Time: 36 months

Expected Benefit: Significant improvement in Government engagement in risk management

No action: Status quo for government disaster risk management

Cost: 0 CHF to project

Time: 0 months

Expected benefit: None. No improvement in disaster risk management coordination or collaboration with international community, continuing difficulty in delivering effective assistance.

Alternative one: Establishment of Disaster Risk Management Institution.

²¹ The use of alternatives is drawn from environmental impact assessment procedures.

Cost: in excess of 1 million CHF (technical support, equipment, facilities and capacity building)

Time: +3 years

Expected benefit: Significant improvement in Government engagement in risk management

Comparison: The no action option provides no net benefit. Both the proposed output and alternative one yield the expected benefit. Given the existence of the National Platform and other institutional linkages, establishing the focal point is more cost effective than creating a government office replacing the capacities of the current Platform and associated structures, and appointing a senior official to run the office.

Output 2

Proposed: National Platform for Disaster Risk Reduction and Expert Group Strengthened

Cost: 271'468 CHF

Time: 36 months

Expected Benefit: Improved capacity of government system to manage risks.

No action: No support for Platform or Expert Group

Cost: 0 CHF to project

Time: 0 months

Expected benefit: None.

Alternative one: Replace Platform and Expert Group with Advisory Body reporting to the President's Office

Cost: in excess of 1 million CHF (technical support, equipment, facilities and capacity building)

Time: +4 years

Expected benefit: More direct engagement of highest level of government in risk management issues.

Comparison: The no action option has no benefit. Both the proposed output and alternative one yield the expected benefit, while the alternative may yield greater benefits from closer association with the President's Office. However, the political complexity and cost of creating this office is judged significant and not effective when compared to the proposed outcome.

Output 3

Proposed: Disaster Risk Assessment results integrated into local risk management

Cost: 183'326 CHF

Time: 36 months

Expected Benefit: Improved management of disaster risks.

No action: No risk assessments

Cost: 0 CHF to project

Time: 0 months

Expected benefit: (negative) increased costs from increased disaster risks and disaster impacts.

Alternative one: Use economic incentives to increase risk aversion via compulsory nation-wide disaster insurance

Cost: Unknown, but significant in terms of long term technical support, equipment, facilities and capacity building of viable insurance institutions in Tajikistan.

Time: +10 years

Expected benefit: Improved management of disaster risk.

Comparison: Both the proposed output and alternative one yield the expected benefit. As actuarial loss estimates are not reliable, Alternative one can be expected to create a demand for risk maps on which to base insurance rates. However, the cost and time needed to develop a sustainable disaster risk insurance system are significant when compared to the proposed outcome. At the same time, the proposed outcome can contribute to the establishment of a sustainable disaster risk insurance system, so this longer-term output is not excluded. The no action option has a negative benefit.

Output 4

Proposed: River Basin Organizations and target Districts integrating water-based risk information into common risk governance planning and activities

Cost: 178'334 CHF

Time: 36 months

Expected Benefit: Improved capacity of RBOs to manage floods and water-related hazards.

No action: No support to RBOs.

Cost: 0 CHF to project

Time: 0 months

Expected benefit: Negative in terms of RBO management of floods and other water-related hazards.

Alternative one: Establish a Water-Related Hazard Management Unit in each RBO

Cost: Unknown, but would require technical support, equipment, facilities and capacity building)

Time: +5 years (for all RBOs)

Expected benefit: Improved capacity of RBOs to manage floods and water-related hazards.

Reasonableness of comparison: Both the proposed output and alternative one yield the expected benefit. The alternative will incur higher costs and require additional time when compared to the proposed output. Further, creating separate units will increase recurrent costs and management requirements when compared to empowering the RBOs directly. The no action option has a negative benefit.

9. Risk Analysis

	Risk	Probability	Impact	Management
Internal	Lack of interest to appoint a high level National Focal Point	Low	High	Awareness raising at highest Government level on need to address DRR and engagement with Sendai and National Disaster Risk Management Strategy, NDS and saving lives/reducing disaster impact.
	Reticence of key stakeholders at national and district level to engage in project	Low	Moderate	Per above to make engagement a priority internal to Government operations.
	Limited capacity to take over of functions and project achievements of key stakeholders on (national and local level)	Moderate	Low	Training and capacity building through project and links to other local government DRR (e.g., ECHO) and development efforts.
External	Willingness of international community to effectively coordinate DRR efforts with Government	Low	Moderate	High level UN engagement via DCC and REACT with donors on importance of DRR/ Coordinated Government and UN engagement with donors on importance of DRR.
	Large-scale disaster or political instability could divert stakeholder attention to response.	Moderate	Moderate	Firewall project activities from response. Promote parallel implementation to response efforts as with other development projects.
	Large-scale disaster in neighbouring countries might lead to assistance from Tajikistan, and shift attention of CoES or other stakeholders.	Low	Moderate	See above.
	Growing instability in Afghanistan might result in change of donor's and government's priorities	Low	Moderate	Need for discretion and attention to political shifts taken into account during all implementation activities
	Changes in Government structure, composition and personnel assignments.	Low	Moderate	Engage a diversity of Government institutions and personnel in project activities to improve internal continuity.

10. Monitoring and Evaluation

Monitoring and evaluation will follow the UNDP guidelines on **Monitoring and Evaluating for Results**. The **Monitoring and Evaluation Plan** (M&E Plan) to be developed for the project will ensure continuous feedback on implementation, early identification of potential problems to facilitate timely adjustments to Programme operation, and implementation in accordance with the overall strategic plan for the Programme. The **M&E Plan** will contribute to ensuring regular reporting to donor(s) on the effective use of all funding.

The Programme's **M&E Plan** will be a tool for planning and managing the collection of data and performance of activities, as well as for analyzing and reporting. Collection of data and information disaggregated by sex, age, and region and, where relevant, other grounds, to the extent possible will be an ongoing process and will be integrated into the activities.

In accordance with the programming policies and procedures outlined in the **UNDP User Guide**, the project will be monitored through the following:

Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management.
- An Issue Log shall be activated in Atlas and updated by the Programme Manager to facilitate tracking and resolution of potential problems or requests for change.
- A risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, a **Project Progress Report** shall be submitted by the Programme Manager to the Steering Committee through Project Assurance, using the standard report format available in the Executive Snapshot.
- a **Monitoring Schedule Plan** shall be activated in Atlas and updated to track key management actions/events
- Annual reports, indicating the progress towards plans, achievement of outputs along with issues and lessons learned will be delivered.

Annually

- Quarterly Project Review Meeting. Operational level meetings between DRMP and designated SDC counterparts will be held on three quarters to review progress, address any implementation issues, and adjust implementation plans as needed. The 4th quarter meeting will be the Annual Project Review (see below).
- Annual Project Review. Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the **Annual Work Plan** (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Steering Committee and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.
- Annual Review Report. An **Annual Review Report** shall be prepared by the Programme Manager and shared with the Steering Committee. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the **Quarterly Progress Report** covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.

Annex 1 – Logical Framework

Hierarchy of objectives Strategy of Intervention	Key Indicators	Data Sources Means of Verification	
Impact (Overall Goal) Reduced negative human and material impact of disasters	Impact Indicators Percentage reduction in loss of life and economic damage based on the 1997 to 2014 baseline.	CoES disaster data	
Outcomes Outcome 1 - National Government has improved governance of natural risks and is actively engaged in risk management.	Outcome Indicators Level of engagement of Government in risk governance (amongst others working DRR platform, DRR expert) <u>Target:</u> Stakeholders report significant (more than 50% of all survey reports indicate positive change) in Government engagement. <u>Baseline:</u> To be determined at start of project.	Stakeholder surveys	External Factors & Risks <u>Assumptions:</u> The Government is willing to appoint a Focal Point. <u>Risks:</u> Large-scale disaster, which diverts Government attention from DRR. Political / economic instability. Focal Point not appointed or not engaged in risk governance process. Major and/or often re-shuffling of the Government officials. DRR is not seen by officials as part of their responsibilities and/or as priority.
Outcome 2 - Stakeholders in targeted Districts using risk information in decision making.	Extent to which risk information is used in decision-making. <u>Target:</u> Risk information reported	Periodic surveys of stakeholders and uses of risk information.	<u>Assumption:</u> Risk information is usable, that is not too technically

	used by 40% of all surveyed users <u>Baseline:</u> To be determined at start of project.		complex or irrelevant to current needs. <u>Risks:</u> Risk information is considered too sensitive to be disseminated. Risk assessment information is not properly diffused and/or used (knowledge, capacity, and willingness).
Outputs (per outcome) and costs			
For Outcome 1			
Output 1	National Focal Point for Disaster Risk Management appointed and engaged	<ul style="list-style-type: none"> <u>Indicator 1.1</u> Status of DRM Focal Point Target: DRM Focal Point designated, TORs signed and enforced Baseline: No Focal Point <u>Indicator 1.2:</u> Focal Point meetings with key international counterparts. Target: Annual meetings Baseline: No meetings 	<ul style="list-style-type: none"> Governmental Decree Public reports and internal project notes
Output 2	National Platform for Disaster Risk Reduction and Expert Group Strengthened	<ul style="list-style-type: none"> <u>Indicator 2.1:</u> Level of private sector engagement of the in National Platform activities. Target: Significant improvement in engagement: +75% of surveyed respondents indicate an 	<p><u>Assumptions:</u> Focal Point able to coordinate DRR across Government and interact at senior level with key donors and stakeholders. Key donors and stakeholders are willing to engage with Focal Point.</p> <p><u>Risks:</u> Government fails to appoint National Focal Point for DRM. Key donors do not prioritize meetings with the Focal Point.</p> <p><u>Assumption:</u> Gender advocate within the Platform membership.</p> <p><u>Risks:</u></p>

		<p>improvement in engagement. Baseline: Almost no engagement</p> <ul style="list-style-type: none"> • <u>Indicator 2.2</u>: Extent to which gender aspects are specifically considered in Platform activities. Target: Gender routinely considered; Gender-related topics and issues mentioned in all Platform and Working Group meeting reports for all topics discussed. Baseline: Gender rarely considered. • <u>Indicator 2.3</u>: Platform Secretariat status within the Government structure. Target: Secretariat fully integrated into the Government. Baseline: UNDP does a large part of the Secretariat's work. 		<p>Private sector is not interested in engaging with Platform. Excessive reliance on UNDP for Secretariat support due to limited in-house management capacities.</p>
<p>Costs of outputs for Outcome 1: In case of joint projects: 1) amount of SDC contribution: 181'506 CHF, 2) in % of total cost of outcome 1: 74 %, 3) Total cost: 243'974 CHF</p>				
<p>For Outcome 2</p>				
<p>Output 3</p>	<p>Disaster Risk Assessment results integrated into local risk management</p>	<ul style="list-style-type: none"> • <u>Indicator: 3.1</u>: # of District Development Plans where risk assessment is integrated. Target: Four Baseline: None (based on new risk assessment) • <u>Indicator 3.2</u>: # of stakeholders using risk assessment Target: More than 40% of stake- 	<ul style="list-style-type: none"> • District Development Plans • Project reports • Stakeholder surveys 	<p><u>Risks:</u> District Development Plans are not updated or taken into account results of conducted disaster risk assessments. Dissemination mechanisms are not effective.</p>

		<p>holders surveyed using information.</p> <p>Baseline: None (based on new risk assessment being done)</p> <ul style="list-style-type: none"> • <u>Indicator 3.3</u>: # of women and girls receiving risk assessment information <p>Target: More than 20% of women/girls surveyed receiving information.</p> <p>Baseline: None (based on new risk assessment being done)</p>		
<p>Output 4</p>	<p>Selected River Basin Organizations and Districts integrating water-based risk information into common risk governance planning and activities</p>	<ul style="list-style-type: none"> • <u>Indicator 4.1</u>: Extent to which risk governance planning is applied. <p>Target: At least two RBO/District discussions held on water-based risk management.</p> <p>Baseline: None.</p> <ul style="list-style-type: none"> • <u>Indicator 4.2</u>: Extent to which alternative water-based risk management methods are considered in RBO and District Development plans.²² <p>Target: Specifically mention in plans.</p> <p>Baseline: None.</p>	<ul style="list-style-type: none"> • River basin water-based hazard management plan. • RBO and district plans. 	<p>RBOs are not (fully) functional.</p> <p>Readiness of RBO to integrated DRR issues in their work.</p>
<p>Costs of outputs for outcome 2: In case of joint projects: 1) amount of SDC contribution: 190'582 CHF, 2) in % of total cost of outcome 2: 82%,</p> <p>3) Total cost: 232'682 CHF</p>				

²² Because the project is not providing funding for risk management activities, the actual use of alternative methods cannot be used as an indicator.

Activities (per Output)	Inputs	
<p>List of activities for Output 1:</p> <p>A.1.1. Policy brief on need for a DRM Focal Point</p> <p>A.1.2 High-level dialogue with the government and key external stakeholders (via the DCC as appropriate) on the need and impact of a Government DRM Focal Point.</p> <p>A.1.3. Technical support to the DMR Focal Point on improving risk governance in government operations and external assistance.</p>	<p>Financial: Direct Project Costs: 44'289 CHF Project Support Costs: 23'940.80 CHF GMS share: 4,067.86 CHF</p> <p>Programmatic: Programme Manager (30%), Project Analyst (100%), Programme Assis- tant (50%), International Consultant (30 WD), National Consultant (70 WD), Conferences and Workshops</p>	
<p>List of activities for Output 2:</p> <p>A.2.1. Broaden the engagement of key government, private sector and external organization actors in disaster risk governance in Tajikistan, including training on gender and DRM.</p> <p>A.2.2 Expand and integrate the private sector into the national and local disaster risk management process.</p> <p>A.2.3. Integrate Platform Secretariat functions onto normal Govern- ment operations through an of- ficial decision.</p> <p>A.2.4. Improve intra-Platform and Platform-project technical ex- changes to build practical un- derstandings of risk governance impacts and opportunities.</p>	<p>Financial: Direct Project Costs: 199'686 CHF Project Support Costs: 107'941.97 CHF GMS share: 18'340.76 CHF</p> <p>Programmatic: Programme Manager (30%), Project Analyst (100%), Programme Assis- tant (50%), International Consultant (30 WD), National Consultant (110 WD), Working Group meetings, Study Tour, Field trips</p>	

<p>A.2.5. Increase Platform and other stakeholder awareness of risk governance approaches used outside Tajikistan.</p>			
<p>List of activities for Output 3: A.3.1. Conduct risk assessments. A.3.2. Integrate assessment results into District Development Plans and land use planning. A.3.3. Assess the impacts, costs and benefits risk assessment data and analysis on DDPs. A.3.4. Disseminate risk information to stakeholders and engage in discussions use of the information to manage risks. The activity will also include gender-focused training on the use of risk information.</p>	<p>Financial: Direct Project Costs: 121'697 CHF Project Support Costs: 65'784.35 CHF GMS share: 11'177.63 CHF</p> <p>Programmatic: Programme Manager (30%), Project Analyst (100%), Programme Assis- tant (50%), International Consultant (55 WD), National Consultant (60 WD), Trainings</p>		
<p>List of activities for Output 4: A.4.1. Detail the role of an RBO vis-à-vis water-related hazard management. This activity will include training on gender and water-related hazards. A.4.2. Develop a common water-hazard risk management structure between selected Districts and RBOs. A.4.3. Build RBO and local stakeholder capacities in alternate approaches to water-related hazard management.</p>	<p>Financial: Direct Project Costs: 110'985 CHF Project Support Costs: 59'993.89 CHF GMS share: 10'193.75 CHF</p> <p>Programmatic: Programme Manager (30%), Project Analyst (100%), Programme Assis- tant (50%), International Consultant (55 WD), Trainings</p>		

Annex 2 – Gender Equality – an Assessment Tool for Gender Mainstreaming at Project/Program level for COOFs and a Tool for reporting to Headquarter

Name, Country and F-Number: Disaster Risk Management Program, UNDP Tajikistan

1. Level of compliance with SDC’s Gender Equality Policy and institutionalized mainstreaming

Key questions	yes	no
<p>A: Rationale of Project: Promoting gender equality GE and/or combating discrimination against women as explicit goals of the project (Toolkit Sheets 2, 9, 10) -</p> <ul style="list-style-type: none"> Is the promotion of GE reflected and explained in the objectives of the project, in the justification or rationale? Is combating discrimination against/exclusion of women reflected and explained in the project objectives, the project justification or rationale? 	X	X
<p>Comments The project does not directly focus on gender equality as part of improving disaster risk management in Tajikistan although attention to gender as a critical issue is identified in the narrative and as output indicators.</p>		
<p>B. Design and Planning: The project/programme refers to gender analysis, gender sensitive analysis, or gendered assessment of context and stakeholders (TK, 4, 5, 6)</p> <ul style="list-style-type: none"> Were gender issues identified as a part of the project preparation and design? Does the project/programme baseline give information about gender inequalities in access to resources, roles, needs, and control over assets? Are the data used for the project design disaggregated by sex? 	X	X
<p>Comments No base line data, which could be disaggregated by gender, was available for the project design process. The official disaster data available for Tajikistan is not currently disaggregated by gender.</p>		
<p>C. Monitoring and Evaluation – the log frames are gender responsive at all levels (TK 8, 11)</p> <ul style="list-style-type: none"> Have output indicators been developed that refer to gender equality and equity? Have outcome indicators been established that refer to gender equality and equity? Is there a reference to the gender specific information in the baseline that enables the measurement of project outputs / outcomes for women and men separately? Is gender integrated into the evaluation according to the baseline and indicators? 	X X X	X
<p>Comments Disaster data to be used for outcome indicators is not disaggregated by gender by the Government. Getting the data disaggregated by gender at source would involve a separate project outcome. Where surveys are conducted as part of the monitoring process, results will be disaggregated based on gender.</p>		

D: GE Mainstreaming and institutional compliance (TK 9, 10):	X
• Have institutional mechanisms been incorporated to facilitate and monitor quality execution of gender equality mainstreaming?	X
• Are women's NGOs, CBOs, gender experts involved in the planning and implementation of the project? Is gender training part of it?	X
• Does the reporting system incorporate information on the monitoring of GE?	X
• Has a budget been assigned to ensure the implementation of gender-specific components/actions?	
• Are there terms of reference and budget for gender mainstreaming responsibilities?	
Comments	
Training in gender is planned for both outcomes of the project. ToRs have not been developed but funds have been allocated for the training in the budget.	

2. Core issue(s) addressed to promote equality between women and men according to CEDAW.

(A: commitment/targeted outcome, B: expected side-effect, C: not at all)

	A	B	C
<u>The project promotes Gender Equality between women and men in:</u>			
<input type="checkbox"/> Access to quality services (e.g. education, training, health, legal services), addressing women's and men's different needs and priorities		X	
<input type="checkbox"/> Access to, control over income and assets (e.g. land, water, housing, credit, information),		X	
<input type="checkbox"/> Physical mobility social and economic mobility			X
<input type="checkbox"/> Decision-making processes and participation processes of civil society participation at family/ household and/or at community level		X	
<input type="checkbox"/> Governance issues, public administration reforms (processes led by the central state actor, formalized processes at state level, global governance)	X		
<input type="checkbox"/> Time use and time burden (paid and unpaid labour, distribution work load, work volume)			X
<input type="checkbox"/> Living lives free of violence (Domestic violence, trafficking, forced labour, state violence through penal system, security systems etc)			X

General comments why gender equality is important or not in the context of the project:

In terms of Outcome 1, the project focuses on changes and improvements to the governance systems involved in disaster risk management, and consideration of gender, and specifically gender awareness, needs to be developed on the part of stakeholders involved in achieving this outcome. Funds have been allocated for gender-specific training and gender inclusion is a specific indicator.

In terms of Outcome 2, the project focuses on improving the use of information on disaster risk by all potential stakeholders, including women and girls, men and boys. Awareness on how to ensure this information reaches those at risk, and particularly women and girls, will be addressed through training funded by the project. An Indicator will be used to define how many women/girls have access to risk information.

Annex 3 - Detailed Budget

Attached in Excel form.

Annex 4 - Terms of Reference Key Project Staff and Experts

1. Programme Manager
 2. Project Analyst
 3. Programme Assistant
 4. Finance/Admin Associate
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1. Programme Manager

DUTIES & RESPONSIBILITIES

The Programme Manager of the UNDP Disaster Risk Management Programme (DRMP) is responsible for the overall management of the DRMP and coordination of the UNDP's activities in the area of disaster risk reduction, including those in the field. S/he is responsible for accountably enabling the Disaster Risk Management Programme to achieve the outputs and results identified in UNDP Country Programme Document, DRM Programme Document as well as specific project documents signed with the Government of Tajikistan.

The Programme Manager will perform his/her duties under the overall direction of the UNDP Country Director and UNDP Deputy Country Director and direct supervision of the UNDP Assistant Resident Representative/Programme (with the support from Programme Analyst responsible for the thematic areas covered by DRMP). Specifically, the Programme Manager will perform the following duties:

- Overall financial and operational accountability of the Disaster Risk Management Programme; financial management, including transparent use of funds and accurate financial reporting;
- Maintain close working relationship with Government institutions, specifically Committee of Emergency Situations and Civil Defence under the Government of Tajikistan;
- Participate in the development of strategies, methodologies and identification of new approaches for improving programme delivery;
- Develop and oversee the implementation of the CO early recovery and crisis response strategy;
- Coordinate programme activities with relevant donors and stakeholders at the national level under the overall supervision of the UNDP Senior Management and in close collaboration with the Programme Unit, to contribute to achievement of overall country programme objectives;
- Be proactive and work closely with the Programme Unit in advising response to opportunities for resource mobilization and fundraising, including conceptualization and drafting of proposals;
- In coordination with the country office, develop and implement the strategy on the transfer of the programme to the national implementation;
- Ensure political support of government actors for the principles and key objectives, planned outputs and results of the DRMP;
- Ensure full support and convince the donors in the principles and key objectives, planned outputs and results of the DRMP;
- Ensure that proper secretariat services are provided by UNDP DRMP to REACT, with the aim of handing over this function to CoES following appropriate capacity building initiatives;
- Other managerial, knowledge and financial management duties and responsibilities

2. Project Analyst

DUTIES & RESPONSIBILITIES

The Project Analyst will mainly be working to strengthen disaster preparedness, risk reduction and response activities in the country; he/she will undertake the following duties and responsibilities under the direct supervision of the Programme Manager:

- Support activities set on annual work plan and activities related to coordination of humanitarian affairs in the country in case of disaster;
- Support and assist and ensure coordination with Committee of Emergency Situations (CoES), other governmental stakeholders and REACT partners on emergency response issues;
- Provide analytical support to REACT Secretariat in developing situation reports, bulletin, press release, and ensure the information exchange platform through www.untj.org website;
- Enhance relationship and level of commitment with the CoES, line Ministries, regional and local authorities involved in disaster management;
- Provide analytical support to implementation of activities related to National Disaster Risk Management Strategy of Tajikistan;
- Provide analytical support to implementation of activities related to National Platform for Disaster Risk Reduction in Tajikistan;
- Develop annual work plan, including strategic and/or innovative initiatives to be undertaken/explored, and set delivery and co-financing targets;
- Ensure timely and accurate submission of reports in line with UNDP corporate requirements and donor requirements;
- Develop comprehensive annual programme reports and quarterly project activity reports and ensure their timely submission in line with UNDP requirements;
- Participate in the development of programme strategies, methodologies and identification of new approaches for improving programme outputs;
- Coordinate programme activities with relevant stakeholders at the national level under the overall supervision of UNDP DRMP Programme Manager to contribute to achievement of overall country programme objectives;
- Assist in developing the concept paper, training modules and handouts for workshops and trainings on disaster risk management in Tajikistan;
- Perform other duties as requested and DRM Programme Manager

3. Programme Assistant

DUTIES & RESPONSIBILITIES

Under the direct supervision of the DRMP Programme Manager, the Project Assistant will be responsible for managing DRMP activities related to day-to-day project implementation and administration issues.

- Collect, analyze and disseminate project-related information, materials and other resources; contribute to development of press-releases, brochures, knowledge products;
- Support DRMP in awareness raising and capacity building initiatives on risk management, disaster risk reduction and gender mainstreaming issues;
- Assist in developing the concept papers, project proposals, training modules and related documents for workshops and trainings and provide administrative support while conducting these training events;
- Support in monitoring and evaluation of the Disaster Risk Management initiatives individually or as a part of monitoring teams, including field visits and desk reviews;

- Support DRMP in situation analysis and project/programme proposals development and reporting through collection of data and inputs, as well as consolidation of comments and inputs;
- In close collaboration with relevant staff in DRMP, assist in preparation of project annual work plans and budget revisions, as required;
- Monitor the DRMP webpage so that all the information is up-to-date and maintain continuous content updates;
- Maintain effective network/communication with national (Committee of Emergency Situations and Civil Defence, relevant line ministries and agencies) and international (resident and non-resident UN Agencies, donor and other agencies) project partners;
- Provide organizational and administrative support to project related missions and consultancies (arranging meeting/workshops, preparing meeting agendas/minutes, provision of translations and interpretation, keeping project records, logistics support etc);
- Keep track of contracts, and effectuate extensions/terminations in a timely manner;
- Provide secretarial support in HR processes and prepare documentation package for issuance of contracts;
- Assist in responding to various inquires and information requests internally and externally;
- Be able to backstop different DRMP functions in the events of emergency response and early recovery coordination and interventions;
- Perform other duties, as required for effective project and programme implementation.

4. Finance/Admin Associate

DUTIES & RESPONSIBILITIES

Under the direct supervision of the UNDP DRM Programme Manager the Finance/Administrative Associate will, in close cooperation with the relevant UNDP units and colleagues in the Disaster Risk Management Programme, support the activities of the project with the following duties and responsibilities:

- Assists in preparation of the AWP, project budget revisions and administrative arrangements as required by UNDP procedures; prepares budget forecasts and checks financial records, conformity of activities, expenditure with work plans; follows up on activities, and monitors advance balances of resources disbursed;
- Establish and maintain up-to-date monitoring systems for DRM programme and project budgets, donor funding, subcontracts, etc. and provide regular status reports to the management, as needed;
- Ensure the timely preparation of financial reports to donors in accordance with the donor reporting schedule and in the line with specific requirements of each donor;
- Draft budgets for Project proposals prepared for donors;
- Prepare expenditure and budget forecasts for each quarter and prepare draft budget revisions as required;
- Ensure the timely payment of staff, subcontractors and service providers in accordance with payment requests and established payment schedules and ensure that all supporting documentation is provided;
- Ensure the proper closing of accounts at the end of each financial year and the preparation of all financial reports required in accordance with established UNDP financial rules and regulations;
- Verify all payment requests, disbursement vouchers, cash receipt vouchers and other financial documents;
- Maintain financial records in accordance with established UNDP financial rules and regulations and ensure that a proper electronic and paper filing system is in place;
- Prepares local payroll, travel authorizations and claims for project personnel;

- Maintains HR related record keeping system (contracts, attendance records/leave records, travel authorizations, medical certificates, etc.);
- Ensures that project assets (vehicles, computers, etc.) are properly maintained and inventory records are kept safely;
- Manages all financial issues within project funds and all finance and administrative records are properly collected and kept safely for audit;
- Verifies availability of funds for project activities, recommending and effecting necessary budget line changes;
- Preparation of financial statements and verification of financial reports of project stakeholders.
- Support knowledge building and knowledge sharing in the project (participation in the learning sessions for the projects staff on administration and finance; sharing of gained knowledge with the project staff to ensure that administrative, procurement and finance processes are implementing in line with UNDP procedures).
- Provide backstopping during absence of project colleagues;
- Perform other duties as required by Programme Manager.

Annex 5 - Institutional Set-up

UNDP has a long-term presence on the ground, and is recognized as trusted and reliable partner of the Government. Due to its presence on the ground, UNDP is (1) well aware of local realities, and (2) is able to work in difficult or restricted environments. UNDP's strong presence at the policy and operational levels enables UNDP to ensure that the outcomes of its work on the ground directly feed the policy level planning and decision making, while at the same time UNDP's influence at the policy level can help scale up and replicate successful local-level development interventions in other parts of the country.

In Tajikistan, in line with 4 main focus areas above, UNDP has a strong policy level presence, while its operations on the ground are implemented through its 5 Area Offices located in Sughd (Khujand and Ayni Area Offices) and Khatlon Oblasts (Shaartuz and Kulyab Area Offices) as well as in Rasht Valley (Gharm Area Office). This set up enables UNDP Tajikistan to mobilize and utilize its technical, financial and human resources in line with prevailing time and quality standards.