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Project title: Enabling an Effective National Adaptation Plan (NAP) Process for Tajikistan	
Country: Tajikistan	
Implementing Partner: UNDP in Tajikistan	Management Arrangements : Direct Implementation Modality (DIM)
UNDAF/Country Programme Outcome: People in Tajikistan are more resilient to natural and man-made disasters and benefit from improved policy and operational frameworks for environmental protection and sustainable management of natural resources	
UNDP Strategic Plan Output: 2.3.1 Data and risk-informed development policies, plans, systems and financing incorporate integrated solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent crisis	
UNDP Social and Environmental Screening Category: EXEMPT (Please see risk log table)	UNDP Gender Marker for the project output: 2
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Brief project description:

The Republic of Tajikistan has been described as the most vulnerable country to climate change in the Europe-Central Asia region. The country's geographic characteristics as well as its high levels of poverty and dependence on the agriculture sector present significant challenges for future adaptation. At the same time, the country's institutional structure for climate change adaptation requires institutional capacity building and technical support. The Government of the Republic of Tajikistan (GoRT) has made solid commitments to confronting the challenges of climate change and to implementing the commitments made in its Nationally Determined Contribution. At the national level, to achieve its adaptation goals the GoRT has developed a National Climate Change Adaptation Strategy (NCCAS), which is a long-term statement of priorities with respect to climate change adaptation. However, the NCCAS currently has no implementation plan.

Therefore, the overall goal and objective of this project is **to establish the institutional arrangements and capacities to develop and execute National Adaptation Plans to further an overarching approach to adaptation planning and implementation in Tajikistan.**

To move towards its goals of mainstreaming climate change adaptation in policy and planning processes at the national and sectoral levels, and to enhance capacities to identify key vulnerabilities and develop effective climate change adaptation projects, the GoRT has decided to develop a National Adaptation Plan process. This will serve to support a coherent mechanism for adaptation planning and implementation in the country and contribute to implement the NCCAS in the event that it is approved and serve to advance adaptation planning even if the NCCAS is not adopted. Successful design and implementation will result in enhanced adaptive capacity and will improve the country's ability to mobilize private and public sector finance from domestic and international sources to support a pipeline of adaptation and resilience building activities. However, given the fiscal position of the country, the Republic of Tajikistan requires external support to design and implement its NAP process.

In 2017 the GoRT requested assistance from UNDP to develop an initial roadmap of the NAP process which could be supported by a GCF Readiness grant. UNDP subsequently worked closely with the GoRT and other stakeholders to identify goals for the NAP process, and to diagnose barriers and gaps that should be overcome in order to effectively implement the NAP.

The proposed project addresses identified gaps and barriers to implementation and is consistent with the GoRT's vision for the NAP process. The proposed project is also consistent with Tajikistan's national development policy framework, and hence will contribute to the mainstreaming of climate change adaptation into national and sectoral development plans. The project has three outcomes:

- 1. Governance, coordination and institutional arrangements for climate change adaptation planning and implementation strengthened.** This outcome focuses on clearly delineating institutional relationships related to climate change adaptation to improve vertical and horizontal coordination, to facilitate the integration of climate change adaptation into national development planning activities, and to strengthen data and information capabilities, which support evidence-based policymaking and project design. The key beneficiaries of outcome 1 are the Committee on Environmental Protection (CEP), the Hydrometeorological Agency (Hydromet), and the Climate Change Centre.
- 2. Priority sector adaptation plans developed, capacities strengthened and Long-Term Capacity Development Program Established.** The GoRT has identified four priority sectors (energy, water resources, transportation, and agriculture) as targets for climate change adaptation. Outcome 2 focuses on advancing mainstreaming of climate change adaptation into day-to-day processes of governance in these sectors, as well as identifying vulnerabilities and developing adaptation projects to address the vulnerabilities. The outcome also includes a substantial program for capacity development within the priority sector agencies, as this has been identified as a major challenge in Tajikistan. The capacity development work for the priority sectors will serve as the basis for a long-term capacity development program that will target a wider range of stakeholders, and which will be hosted by the University of Central Asia.
- 3. Implementation capacities for climate change adaptation established/strengthened.** The third outcome focuses primarily on building a solid foundation for implementation of the NAP. This includes the development of a financing strategy that links priority adaptation projects to appropriate sources of finance. The outcome also develops subnational implementation capacities, since subnational governments will be the locus of many adaptation activities. Lastly, the third outcome includes a suite of activities designed to foster robust private sector engagement and participation in advancing climate change adaptation in Tajikistan.

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SIGNATURES

Government

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Date/Month/Year:

14 July 2021

Disbursement: The UNDP CO is aware of the conditions of disbursement ascribed to the first and subsequent tranches of the GCF funding as specified in the Framework Agreement (FWA) (and in particular Clause 4 of the FWA). To the extent that these obligations reflect actions of UNDP, UNDP must ensure that the conditions are met and there is continuing compliance, as well as understanding that availability of GCF funding is contingent on meeting all conditions listed in the FWA.

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I. DEVELOPMENT CHALLENGE

Introduction

Tajikistan has been described as one of the countries' most vulnerable to climate change in the Central Asian region. Part of this vulnerability is due to the country's terrain, as 93% of its territory is considered mountainous and roughly half of all settlements in the country are located above 3000 meters. Compounding this geographic vulnerability are socio-economic factors; of the approximately 8.7 million people in Tajikistan, 75% live in rural areas and derive their livelihoods from the agricultural sector. Agriculture accounts for approximately 30% of the country's GDP, but the agricultural base is characterized by limited arable land due to the fact that 93% of the country is considered mountainous. In the limited areas where cultivation is practical, there is a heavy reliance on irrigation, though the irrigation infrastructure is in disrepair in many areas. Forests cover approximately 3% of the total land area, with an annual rate of deforestation of approximately 2-3% per year driven by intensive livestock grazing and illegal firewood collection. Due to these factors and processes, coordinated action on climate change in Tajikistan is an urgent concern.

Tajikistan declared independence from the Soviet Union in 1991 and the Constitution of the Republic of Tajikistan was approved 1994. Shortly after gaining its independence, a devastating civil war erupted in the country, lasting for just over five years, ending in 1997. Since that time Tajikistan has enjoyed a long period of general stability and economic development. Currently Tajikistan is governed through a presidential republic system, and legislative power is vested in two chambers of parliament. Tajikistan is divided into four administrative divisions which include the regions (Oblasts) of Khatlon and Leninabad, the autonomous region of Gorno-Badakhshan and the capital city of Dushanbe. There are 62 districts (raions), 354 rural village and town governments (Jamoaty shakhrak and dekhrot) and approximately 3570 settlements spread throughout the country. The country has 22 cities and the national capital city Dushanbe, is the largest, with an estimated population of 822,000 in 2015. Hydropower is used to meet the majority (98%) of energy needs in the country. Due to geopolitical circumstances the supply of fossil fuels is limited and therefore prevents the development of industrial production, transport development, and heat supply. This is increasingly problematic because, due to increasing demands, the existing hydropower plants are not sufficient to meet annual and especially seasonal needs.

While Tajikistan has made tremendous progress since the end of its civil war with respect to improving socioeconomic conditions, the country is still relatively poor, ranking 129 out of 188 countries in UNDP's 2016 Human Development Index. Nationally, the proportion of people living below the poverty line is estimated at 31.3%, falling from 80% in 1997, and the per capita GDP is US\$2,567. Primary drivers of poverty include high unemployment, decreased agricultural output due to land degradation, limited access to educational opportunities, limited access to electrical power, and underdeveloped water and sanitation infrastructure. Remittances account for around 43% of Tajikistan's GDP; Tajikistan is the most remittance-dependent country in the world. The high dependence on remittances means that Tajikistan's economy is subject to shocks that originate from economic downturns in other countries, as evidenced by the recent economic contraction in Russia. The government has the stated goal of doubling GDP, reducing the poverty rate to 20%, and expanding the middle class by 2020.

Development planning in the GoRT is the responsibility of the Ministry of Economic Development and Trade (MoEDT). Development planning is guided by the National Development Strategy (to 2030), which is implemented by the Medium-term Development Program (2016-2020). However, the current strategic development framework does not address the issue of climate change. In February of 2014 the Donor Coordination Council proposed that the government should include climate change as a focal theme in the National Development Strategy. The proposed project includes activities that will contribute to the integration of climate change adaptation into national development planning processes. Line agency and ministry planning processes are congruent with national planning, that is, each sector develops a long-term strategic plan which is implemented through consecutive 5-year development programs.

Climate Change Context

The climate in Tajikistan is considered continental, which is in part characterized by large seasonal variations in temperature. Winters are extremely cold, with temperatures reaching as low as -63°C at high altitude in the mountains. Conversely, summers are quite hot, with temperatures commonly exceeding 40°C at low altitude. Climate change is a serious concern for Tajikistan as the country is highly exposed and has a relatively low adaptive capacity.

The country has already started to feel the effects of climate change. Temperatures in Tajikistan have consistently increased since the 1930's, at an average rate of 0.1°C/decade. Future projections indicate that average temperatures in Tajikistan are likely to increase by +1.1 to +2.8°C in the near future (2011-2041), by +2.8 to +6.6°C by mid-century (2041-2070), and by 4.5 to 9.7°C by the end of the century (2071 to 2099) relative to a 1961 to 1990 baseline and based on low greenhouse gas mitigation scenario. In general, global climate models predict summer precipitation and winter warming will enhance as a result of climate change across central Asia. Observations are in good agreement with model simulations, which suggest that the central Asia region will have a warming rate well above the global mean in the twenty-first century.

Climate-induced extreme weather events (such as floods, droughts, heatwaves, landslides and avalanches) are expected to increase in both frequency and intensity as a result of warming. From 1992 to 2016, natural disasters

affected 7 million people in Tajikistan (more than 80% of the population) and caused economic losses of US\$1.8 billion. Annual losses from climate change and climate-induced extreme weather events are currently estimated at \$600 million, or 4.8% of GDP. As the instance and magnitude of these events increases, the impacts of such disasters are also expected to increase. Climate related impacts on freshwater systems have also been observed in the country. The area in Tajikistan covered by glaciers has declined by approximately one third since the 1930s. As glaciers shrink, floods will occur with greater intensity in some areas while other areas may experience more water scarcity. Future projections indicate that by year 2050 the ice volume of glaciers is expected to decrease by 25 to 30% and river runoff is expected to increase by 6 to 15%.

Climate change could adversely affect Tajikistan through impacts on social, cultural, economic, and natural resources. The relatively low level of socio-economic development, inadequate infrastructure, and high dependency on climate-sensitive sectors make the country extremely vulnerable to climate-induced extreme events. The projected changes in climate have the potential to overturn development gains achieved in the past and also push more people into extreme poverty by lowering agricultural yields, increasing food prices, and hastening the spread of waterborne and foodborne diseases.

Reductions in agriculture and pasture productivity will adversely affect the overall nutritional status and health of the population, especially women, children, and elderly. Women and young girls are extremely vulnerable to the effects of climate change due to the fact that they already have poor access to water and sanitation. Tajikistan is one of the most isolated countries in the world and the steep mountain terrain makes it highly susceptible to many natural disasters that can render bridges unsafe and roads impassable. Over time the likelihood of these events will increase, thus undermining the resilience of the most exposed communities. This country is likely to experience considerable economic losses, increased humanitarian stress, and severe environmental degradation if robust adaptation measures are not put in place in the near future. As part of its response to these challenges, the Republic of Tajikistan, in its Nationally Determined Contribution (NDC), is focused on the hydropower industry, development of other renewable sources of energy, agriculture and forestry, adequate response to and risk reduction against natural disasters, and provision of hydrometeorological services and measures to raise public awareness.

Policies

Tajikistan has taken significant steps to engage in international policy dialogues on climate change adaptation and mitigation. It was also one of the first countries in Central Asia to develop a national climate change strategy. However, currently no implementation framework exists to move beyond the strategy stage. The NAP process supported by the proposed project will be consistent with the priorities outlined in each of these frameworks and will provide the means by which to realize Tajikistan's adaptation ambitions.

NATIONAL COMMUNICATIONS TO THE UNFCCC. Tajikistan has submitted three National Communications (2002, 2008, and 2014). These include an inventory of greenhouse gas sources and sinks, a vulnerability analysis of ecosystems and the economy, preliminary adaptation recommendations, and mitigation analysis. The Communications also outline expected climatic change impacts for the country until 2100, including sector-specific implications for climate change and some priority measures, but most recommended actions relate to mitigation of greenhouse gas emissions. Notably, the three National Communications do not include specific assessments of vulnerability at the national, sectoral, or subnational level, as these assessments have for the most part not yet been conducted in Tajikistan.

- NATIONALLY DETERMINED CONTRIBUTION (NDC). In 2015 the GoRT submitted its NDC, and in 2016 the country signed and ratified the Paris Agreement, taking effect in January 2017. Tajikistan's NDC prioritizes the reduction of vulnerability to the impacts of climate change through the incorporation of climate resilience and adaptation measures in the planning and development in several priority sectors, including i) agriculture, irrigation and water systems; ii) power engineering and industrial facilities; iii) transport and housing infrastructure; iv) disaster risk reduction; v) biodiversity; and vi) health. The NDC further prioritizes the active role of women and civil society in planning and implementing climate change adaptation measures and emphasizes the dissemination of knowledge and experience on climate change at various levels. However, there are currently no mechanisms in place for implementing the adaptation aspects of the NDC, nor is there a system for monitoring and evaluating progress towards achieving the adaptation goals.

- NATIONAL ACTION PLAN FOR CLIMATE CHANGE MITIGATION (2003). The GoRT was among the first countries in Central Asia to officially and strategically address climate change with the promulgation of the National Action Plan. This strategic plan included a section on adaptation and also included linkages to other strategies and programs, including the National Programme of Action to Combat Desertification. This strategy was not updated until the NCCAS (see below).

- NATIONAL CLIMATE CHANGE ADAPTATION STRATEGY (NCCAS). The NCCAS was recently approved (October 2, 2019, Decree No. 482) by Tajikistan's cabinet. The vision of the government as articulated by the Prime Minister's Office is that the NAP will serve as the implementation plan for the NCCAS. The NCCAS presents a long-term (until 2030) outline of priority adaptation measures in the form of a basic project pipeline and will be implemented through successive NAPs which will provide concrete actions according to successive five-year timeframes. It identified four priority sectors as particularly vulnerable to climate change: i) energy, ii) water

resources; iii) transportation; and iv) agriculture, which will be the same focal areas for the NAP process. However, the NCCAS lacks a number of elements required for implementation, including M&E framework and financing plan. In addition, there is currently no coordination or implementation mechanism for the NCCAS. The NCCAS also highlights a number of barriers and reforms that need to be addressed by the government to create an enabling environment for implementation. These gaps and barriers are among the primary entry points for the first NAP cycle and will be addressed through the implementation of this project (see logical framework and narrative description, below). The NCCAS succinctly describes the needs: “the strategy requires donor coordination on the investment pipeline and further inter-ministerial and agency coordination on mainstreaming climate resilience into their policies, budgetary planning processes, existing strategies and action plans, etc.”. The NCCAS also presents a list of legal, institutional, and capacity barriers that need to be overcome, the majority of which are covered in the activities in the GCF NAP support proposal.

- NATIONAL STRATEGY ON DISASTER RISK REDUCTION 2019-2030 (NSDRR). The NSDRR strategy makes note of the importance of incorporating climate change into disaster risk reduction and disaster management activities, however there are no details in the plan to guide integration. Like in the case of sector strategies and implementation plans, when approved the NSDRR will be implemented through successive medium/short term implementation programs. During the second field visit the NAP project design team conducted consultations with COES to ensure that the NAP process is aligned and coordinated with NSDRR implementation. The proposed NAP support proposal has therefore been written to take advantage of overlaps between DRR and climate change adaptation, and many of the activities in the proposed project will provide significant co-benefits in terms of disaster risk reduction. Moreover, this attention to disaster risk reduction/ climate change adaptation synergies ensures that the proposed NAP project also supports the GoRT’s efforts to implement the Sendai Framework, since the Framework’s objectives are mainstreamed into the NSDRR.

Stakeholder Consultations

The Government of the Republic of Tajikistan requested support for the development of its NAP process in 2017. With support from UNDP, a preliminary mission was undertaken June 8-9, 2017, to identify, in consultation with stakeholders, Tajikistan’s needs regarding the NAP process. This stakeholder mission included 39 participants from state agencies, academia, NGOs, and CSOs. The mission allowed for a preliminary assessment of relevant initiatives on climate mainstreaming and of the institutional framework and capacities relevant to the NAP process through a stakeholder roundtable and key-informant interviews. This mission was supplemented by an extensive desk review of policy documents, assessments, and reports, including a comprehensive review of PPCR project documents.

Subsequent to this stocktaking visit, UNDP’s Tajikistan team coordinated closely with government and development partner stakeholders in Tajikistan to further clarify the priorities and vision of the GoRT with respect to the NAP process. These ongoing consultations were important given that the National Climate Change Adaptation Strategy was still being formulated, and so it these discussions helped to establish the complementarity between the NCCAS and the NAP process.

In April 2018 a subsequent mission to Tajikistan was conducted to update, revise, and validate the NAP support project proposal. During this most recent mission, UNDP conducted coordination meetings with development partners (World Bank, ADB, EBRD, GIZ, KfW, WFP). These meetings provided additional information concerning recent initiatives in Tajikistan, including two recently approved GCF microprojects (GCF 67 and GCF 75 detailed above), as well as insights as to what aspects of planning, coordination, and implementation should be strengthened through the NAP process. In addition, the UNDP team met with several government agencies and ministries. These meetings served to ensure that the current project proposal is consistent with the GoRT’s vision for the NAP process and that the project will be a country-owned and country-driven endeavor. Consultations with priority sector agencies (e.g. Ministry of Agriculture, Ministry of Energy and Water Resources) provided information about critical institutional and capacity development needs and enhanced awareness and solidified commitment on the part of these agencies with respect to the NAP process.

The UNDP team also met with the Ministry of Finance and Ministry of Economic Development and Trade to discuss the implementation arrangements for the project and also to discuss the details of a financing plan and mechanism to support the implementation of the NAP, NCCAS, and NDC. In addition, consultations with the Hydrometeorological Agency, Statistics Agency, Committee on Environmental Protection, and Committee on Disaster and Emergency Situations provided an opportunity to examine the project’s Theory of Change assumptions and logical framework in depth to ensure the validity of both, as well as the technical and political feasibility of the project and its fidelity to Tajikistan’s identified adaptation priorities. The proposal was updated to reflect the new developments in Tajikistan and was discussed at an all-day workshop in Dushanbe which included participants from all of the relevant government ministries and agencies, development partners, and CSOs/NGOs.

The result of these extensive consultative processes is a proposal that has been thoroughly vetted by a wide range of stakeholders. As a result, the proposed project has been designed to build on and institutionalize the lessons learned from the PPCR project and to ensure maximum complementarity with the NCCAS, the National

Strategy on Disaster Risk Reduction, the national development planning framework, and sectoral planning frameworks. In addition, the project has been designed to ensure broad stakeholder engagement and involvement, with specific focus on vulnerable groups (e.g. women and vulnerable youths). The project's activities include the establishment of stakeholder inclusion guidelines and tools for climate change adaptation planning and implementation which will be disseminated throughout the priority sectoral agencies and to subnational levels of government.

In supporting the gender-sensitive adaptation planning in Tajikistan, the approaches, tools, action plans, consultations and analyses throughout the various outcomes will take into consideration the gender-differential impacts of climate change and also the different elements of climate resilience for women and men. The inclusion of gender sensitive approaches in the vulnerability assessments under sub-outcome 2.2, M&E indicators (including gender-disaggregated indicators and targets) in activity 1.1.3, the stakeholder inclusion guidelines developed in activity 1.1.4, and all awareness raising materials developed for the project will be undertaken through a participatory and inclusive process.

The Committee for Women's and Family Affairs, as well as UNDP's national and regional gender specialists will be consulted to ensure that all NAP measures and activities are aligned with the National Strategy for Enhancing the Role of Women in the Republic of Tajikistan and the Law on State Guarantees of Equal Rights and Opportunities for Men and Women. In addition, section 6.2 of the project proposal (below) includes additional information about gender inclusiveness in the Tajikistan NAP process.

II. STRATEGY

The overall problem that this project seeks to address is that the institutional arrangements and capabilities to develop and execute implementation plans for Tajikistan's National Climate Change Adaptation Strategy are not in place.

The overall goal and objective of this project is to establish the institutional arrangements and capacities to develop and execute National Adaptation Plans to further an overarching approach to adaptation planning and implementation in Tajikistan.

There are several barriers that cause this problem to persist, preventing effective climate change adaptation planning and project development in the Republic of Tajikistan. These barriers can be broadly grouped into three categories, each of which corresponds to one of the proposed project's workstreams, which have been designed to address the barriers.

Key barrier #1: Weak governance and coordination for climate change adaptation planning.

There is universal agreement amongst government and nongovernment stakeholders in Tajikistan concerning the necessity of strengthening institutional mechanisms to coordinate climate change adaptation planning and implementation across sectors. Specific examples of this include the following:

- **The Committee on Environmental Protection currently lacks the ability to effectively coordinate climate change adaptation at the national level.** Though the CEP has the official mandate to coordinate climate change adaptation planning in Tajikistan, there is a clear lack of coordination between the various sectoral agencies with respect to climate change risk reduction, management, and adaptation project and program implementation. One important consequence of this lack of coordination and planning capability is that adaptation projects, to the extent that they have been implemented in Tajikistan, have been executed in an ad-hoc manner with little institutional learning. The PPCR project and other initiatives have been implemented by project management units which operate largely outside the GoRT's governance structure. Therefore, the CEP has served primarily as a host for these PMUs, rather than fulfilling its mandate for coordination of climate change adaptation planning. Moving forward, it will be critical for the NAP and overall strategic planning for adaptation processes to strengthen the capabilities of CEP and clarify its institutional role vis-à-vis other government agencies. Key issues related to this barrier include:

o ***Unclear institutional arrangements for climate change adaptation policy and implementation.*** Although the CEP has a mandate to coordinate climate change adaptation planning at the national level, the roles and responsibilities of coordinating and line agencies has not been fully specified. Institutionally this is problematic since the CEP has a lower status than ministries. Formalized institutional arrangements would clarify the role of the CEP vis-à-vis the other agencies and ministries and would empower the CEP to facilitate the process of developing implementation plans for the NCCAS.

o ***Lack of horizontal / vertical coordination framework.*** Similar to the aforementioned issue, there is no mechanism for formalized horizontal or vertical coordination for planning. Like many other countries, there is a high level of "siloeing" among sector agencies and ministries in Tajikistan, which serves as an obstacle for sharing climate related information between agencies and ministries, and also for developing and implementing multi-sectoral adaptation measures. Though there was a co-ordination mechanism hosted by CEP for the PPCR project, it existed to coordinate the activities of the ADB, WB, and EBRD rather than to promote intersectoral coordination. In terms of vertical co-ordination, it has proven difficult for the national government and the CEP in particular to track adaptation activities at subnational levels. There are many small-scale climate change adaptation projects that are implemented at the local level, but there is not any monitoring happening. This severely hinders the potential to scale up, replicate, and institutionalize lessons learned from successful adaptation activities conducted at the district level.

o ***Lack of unified and coherent national vision for climate change adaptation.*** Although there is widespread understanding at the upper levels of the national government as to the seriousness of the challenges associated with climate change, there is not a consensus on how to address these challenges. As the agency responsible for coordinating climate change adaptation, CEP is responsible for developing a consensus among government agencies and non-government stakeholders with respect to the steps that should be taken to address climate change. However, capacity gaps and lack of institutional arrangements have hindered CEP's ability to fulfil this role.

o **Insufficient stakeholder engagement and gender inclusiveness.** Currently there are no procedures for ensuring that climate change adaptation planning and implementation are inclusive processes that encourage the active involvement of non-government stakeholders and result in adaptation measures that respond to the needs of the most vulnerable. Although the GoRT has prioritized enhancing gender inclusiveness in disaster risk reduction and climate change adaptation at the national and subnational level, implementation procedures and relevant guidance haven't yet been developed. As the National Designated Authority and coordinating agency for climate change adaptation, CEP is ideally situated to develop and institutionalize protocols for stakeholder engagement and gender-sensitive climate change adaptation but lacks the capacities to fulfil this role.

o **Inability to integrate climate change adaptation considerations into national development planning processes, and lack of progress in linking NDC, NCCAS, and other climate change priorities to national development plans.** Capacity (human and procedural) to formulate and implement climate change adaptation policies and to guide the integration of climate change adaptation considerations into national development policies is limited within the CEP. Although CEP has a mandate to develop climate change adaptation policy at the national level, the Committee has in recent years focused its limited resources on implementing donor-funded projects (e.g. PPCR) and therefore policymaking capacities need to be developed and applied.

o **Lack of coordination and synergy between disaster risk reduction and climate change adaptation.** The government of Tajikistan has recently approved its National Strategy on Disaster Risk Reduction 2019-2030, which will be implemented through a series of implementation programmes. There are significant overlaps between the priorities elaborated in the National Strategy on Disaster Risk Reduction and Tajikistan's climate change adaptation priorities as described in UNFCCC framework documents and the draft National Climate Change Adaptation Strategy, yet there is no coordination mechanism between CEP and Committee on Emergency Situations and Civil Defense. If this lack of coordination persists, it will hinder the identification and exploitation of synergies between disaster risk reduction investments and climate change adaptation investments.

- **No standardized indicators or monitoring framework exists for climate change physical processes and climate change adaptation.** Another major barrier is that there is currently no standardized, nationwide system for monitoring and evaluation of both the physical processes associated with climate change and progress made towards achieving the country's stated climate change adaptation priorities. As noted, a monitoring and evaluation system was established for the PPCR project, but it was geared towards fulfilling the reporting requirements of the Climate Investment Funds. Key issues related to this barrier include:

o **The lack of M&E means that it is hard to ascertain which development activities are (or could potentially) contributing to adaptation and resilience, and which are vulnerable to climate change impacts (or even exacerbating the potential impacts of climate change).** Moreover, lack of a baseline and M&E system is a significant barrier to gauging progress towards meeting the country's NDC goals.

o **There are no accepted definitions or terminology for climate change related issues;** in other words, there is no official lexicon for climate change adaptation policy and programme design and implementation. This hinders coordination on climate change adaptation issues. Related to this is the fact that there are not agreed-upon indicators for climate change adaptation processes, and no standard methodologies for gathering data

o In general, **environmental and climate information is used predominantly for reporting to higher levels, but is rarely used by public authorities as a tool for development and implementation of environmental/adaptation policy.** Stated differently, effective information feedbacks based on monitoring and evaluation do not yet exist for climate change adaptation. Therefore, there is a need for improved clarity in monitoring and reporting responsibilities, as well as capacity development in priority sector agencies as to how to use climate information diagnostically to assess vulnerabilities as well as to track adaptation progress.

- **Knowledge management for climate change adaptation planning and implementation is weak.** Though several projects have aimed at strengthening the human resources and institutional capabilities of Hydromet, its subsidiary body, the Climate Change Center, faces a number of barriers which hinder its ability to provide the climate data and information necessary to effectively plan for climate change and develop climate change adaptation projects. These issues include:

o **Lack of a centralized repository for climate data;** data is not openly and transparently available. The current piecemeal approach to adaptation has created a multitude of localized analyses and data sets. Different datasets relevant to climate change exist in many different agencies throughout the country, making it difficult to access the data as well as to ascertain gaps in the data record

o **Lack of standards and procedures for data collection, processing, storage, formatting, and dissemination.** In addition to the lack of procedures, staff capabilities for data synthesis, quality control, gap filling, and homogenization of various data sources is insufficient.

o **Lack of research to support policy development, updating of risk information, and design of effective adaptation measures.** There is no coordination between the government and academic/research institutions to develop a research plan to support the implementation of the NCCAS and other adaptation priorities.

o ***Lack of tools and methodologies to enable government agencies to incorporate climate change information into planning processes.***

This includes vulnerability assessment methodologies, stake-holder engagement tools, planning tools for incorporating climate change into sectoral and subnational strategies, plans, and policies, and budgeting tools.

o ***Lack of technical outreach for government agencies and other stakeholders.***

There is currently no agency that is providing technical support with respect to climate change adaptation (e.g. gathering and analyzing data, identifying and assessing vulnerabilities, generating adaptation options, etc) to ministries and agencies at the national and subnational levels. This lack of support hinders the ability of priority sector agencies and subnational government units to incorporate climate change adaptation considerations into their operations. Improving technical outreach is a necessary complement to providing tools and methodologies for addressing climate change.

Key barrier #2: Priority sector agencies lack adaptation planning capacities.

Many of the human capacity and institutional deficiencies present in the CEP apply to the priority sector ministries and agencies as well, furthering hindering strategic planning, policy formulation, and project development. Currently none of the priority sectors in Tajikistan have climate change action plans. The proposed project's stocktaking report and direct consultations identified a number of gaps and barriers in the line agencies that should be targeted for improvement to enable the NAP process to move forward. In most cases there is a general lack of awareness and capacities in the sector ministries to analyze climate vulnerabilities, mainstream climate change adaptation considerations into planning and regulatory frameworks and develop fundable adaptation projects. This can be traced to three interrelated sets of barriers:

-No mainstreaming of climate change adaptation considerations exist in priority sector agencies.

Regulations and codes on environmental protection, energy, drinking water supply, construction, disaster risk management, and other climate-sensitive sectors do not incorporate climate change.

Priority sector agencies lack the necessary data, information, and tools to integrate climate change related risks and adaptation into planning processes, documents, and action plans at the sectoral level

Priority sector agencies lack the resources and capabilities to conduct sectoral policy reviews.

Most priority sectors have not incorporated climate change into long-term strategic sectoral plans; virtually all sectors have not yet incorporated climate change adaptation considerations into the 5-year implementation plans through which the strategic plans get operationalized.

In addition to the general lack of climate change relevant data noted above, there is also a lack of sector-specific data and information available for identifying climate trends relevant to specific sectors (e.g. water) over the past 20-30 years.

Priority sector agencies have few/no outreach activities to their constituents/regulated community to raise awareness about climate change vulnerabilities and the necessity to adapt to climate change

-Priority sectors have no vulnerability assessments.

Because there are no vulnerability assessments, the priority sectors cannot effectively elaborate and prioritize adaptation measures, and so as noted above none of Tajikistan's priority sectors has adaptation plans.

-Priority sector agencies lack human and institutional knowledge to address climate change, which adversely affects both mainstreaming of climate change adaptation into planning and policy processes as well as the assessment of vulnerabilities and design of fundable adaptation measures. Specific gaps include:

General knowledge of climate change and the need for adaptation is very limited

Insufficient technical and managerial capacity to develop and implement climate change adaptation programmes and projects

There are high levels of staff turnover throughout the government and no effective mechanism to institutionalize knowledge on climate change adaptation or to transfer knowledge to new employees

Key barrier #3: Implementation capacities for climate change adaptation weak.

A third set of barriers relates to implementation capabilities, including the monitoring and evaluation of climate change adaptation projects and programs. These barriers hinder the country's ability to link priority actions and policies to financing to support implementation. In general, there is a lack of knowledge and understanding of the appropriate financing mechanisms to support adaptation projects. This can be broken down into three key areas:

-No financing mechanism for climate change adaptation implementation exists.

Lack of coordination between agencies to understand financing needs. As mentioned in Barrier 1, agency programming and budgeting is often siloed. This inhibits collaboration and multi-sector project planning and inefficiencies in funding persist.

Internal sources of climate financing have not been identified (e.g. by identifying entry points in the national budget), and so most adaptation initiatives have been and continued to be funded by external sources. This includes a lack of understanding of the private sector funding interest in the country.

Enabling conditions to facilitate financing of priority adaptation measures in priority sector agencies are not in place. Not only has there not been a market analysis of the interest of private sector entities in engaging in climate adaptation, but awareness of adaptation and the business case for resilience planning within those private companies is minimal.

-Subnational capacities for climate change adaptation mainstreaming, planning, and implementation weak.

In the future, subnational authorities in Tajikistan will likely be responsible for implementing adaptation policies and projects. However, currently subnational levels of government have little capacity in terms of climate change adaptation. Many coordination limitations and other barriers that exist at the national level (as described in Barrier 1) are also prevalent at the regional and local levels. Contributing factors to this barrier include:

Very low awareness among subnational government officials with respect to climate change physical processes and climate change adaptation

No standardized procedures for evaluating climate vulnerabilities

Lack of capacity for developing adaptation projects and programmes

No funding mechanism for climate change adaptation at the subnational level

No procedures or capacities for incorporating climate change adaptation into subnational development planning processes. This includes the use of climate risk information to regulate building and other economic activities at the subnational level, which results in uncontrolled development in vulnerable areas

No coordination of climate change adaptation and disaster risk reduction at subnational levels. This reflects a corresponding lack of coordination at the national level.

-Private sector engagement in climate change adaptation activities minimal.

As detailed above, the awareness of climate change adaptation and incentive for participating in, or funding climate change adaptation activities has been minimal within the private sector broadly. This is further demonstrated by the following:

Awareness of the potential impacts of climate change among private sector stakeholders is extremely limited.

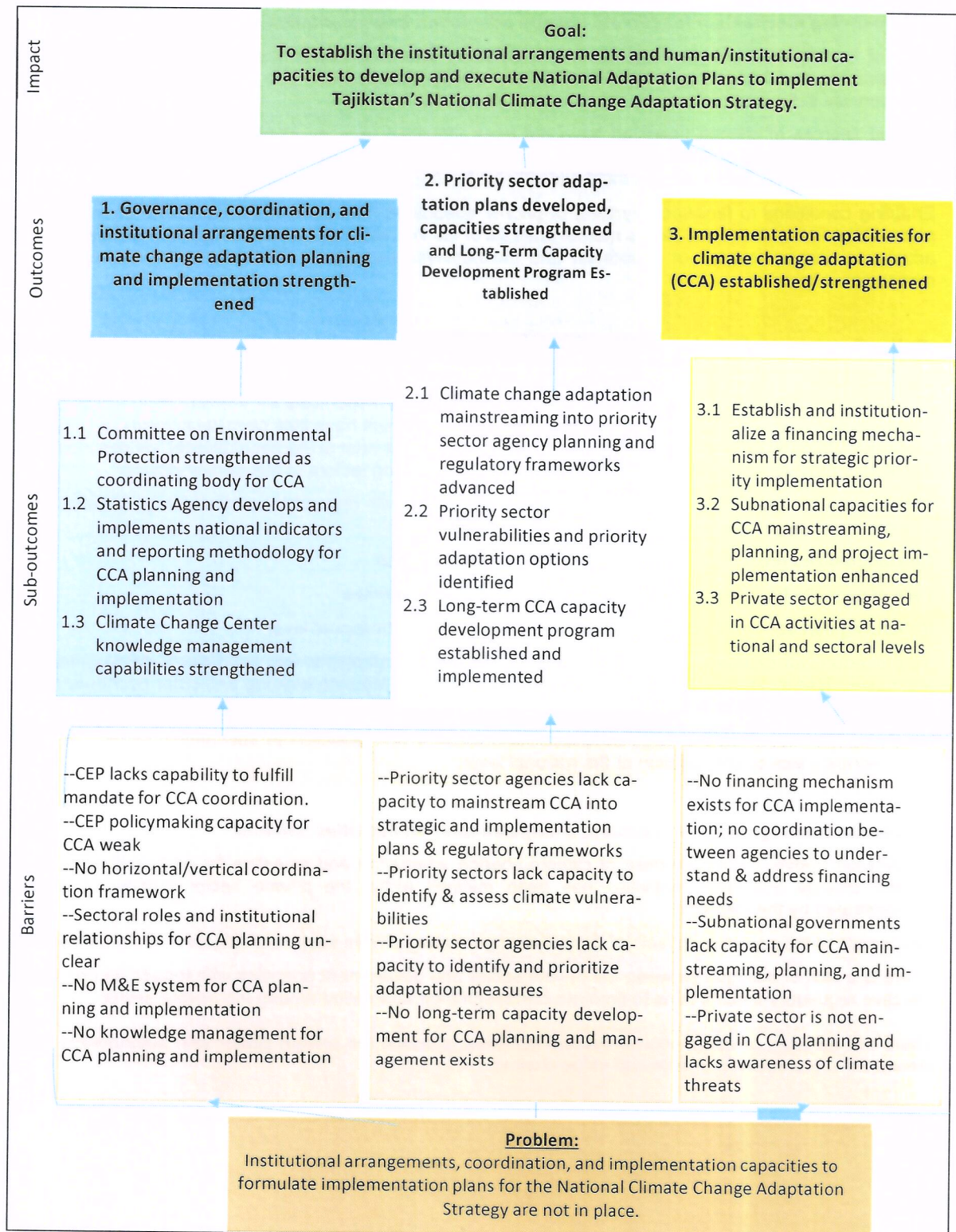
There is a lack of dialogue between the private sector and government agencies with respect to appropriate and effective regulatory mechanisms to promote climate change adaptation among the private sector

There are no tools or information products available to assist the private sector with autonomous adaptation measures to protect investments and value chains.

Theory of Change

The project's Theory of Change has been designed to remove barriers to achieving the central goal of enabling implementation of Tajikistan's National Climate Change Adaptation Strategy.

The change pathways that accomplish this are elaborated in the diagram below:



III. RESULTS AND PARTNERSHIPS

The result of the project will be the establishment of the institutional arrangements and capacities which will empower the CEP to lead the process of translating the country's adaptation priorities as articulated in the NCCAS and other documents into implementation plans (NAPs).

As part of the NAP process, the project will also capacitate responsible agencies for the four priority sectors which have been identified by the GoRT as being particularly vulnerable (energy, water resources, transportation, and agriculture) and advance mainstreaming of climate change adaptation considerations in these agencies. The agencies will also develop sectoral adaptation plans, which will be com-piled as part of the national NAP.

To this end, the project has been structured with three outcomes, each consisting of three sub-outcomes, which are in turn each implemented by a number of activities. These activities, sub-outcomes, and outcomes have been care-fully designed to address the barriers, gaps, and needs described in the theory of change section (above). The project has also been designed to coordinate closely with other ongoing and planned adaptation measures, and to provide a structure by which the lessons learned from those initiatives can be institutionalize into ongoing planning for climate change adaptation in Tajikistan. Lastly, the project has been designed to ensure broad stakeholder engagement and involvement, focusing particularly on especially vulnerable groups (e.g. women).

Outcome 1: Governance, coordination and institutional arrangements for climate change adaptation planning and implementation strengthened. Outcome 1 focuses on establishing and supporting the formalized institutional arrangements that will result in the development of the first National Adaptation Plan to implement the National Climate Change Adaptation Strategy.

Sub-outcome 1.1: Committee on Environmental Protection strengthened as lead agency and coordinating body for climate change adaptation.

The outputs in this sub-outcome will focus on enhancing the capability of the CEP to fulfill its duties as the agency responsible for steering the NAP process in Tajikistan. As noted in section 2.2 (above), the NAP process will serve as the implementation mechanism for the National Climate Change Adaptation Strategy (NCCAS) if it is approved; if the NCCAS is not approved or is delayed the NAP process will serve not only as an implementation mechanism for previously identified priorities, but also as the basis for establishing a coherent system of strategic planning for adaptation in Tajikistan. The NCCAS calls for the CEP to "ensure integration of climate change concerns into overall national planning through coordination with the relevant ministries, departments, and government agencies". This sub-outcome specifically targets general issues that are referenced in the NCCAS so that the NAP will be able to effectively serve as the implementation mechanism for the NCCAS. This includes capacity development of human re-sources, as well as the formulation and formalization of the institutional structures and legal arrangements necessary for NAP formulation and implementation.

The specific needs that are described in the NCCAS and that are addressed by this sub-outcome include the following:

- Mainstream climate change into local planning and policies.
- Provide necessary support to ministries and agencies interested or working on climate risk reduction and management, including support to ministries and agencies in considering links with other sectors when developing or implementing their programs.
- Identifying specific entry points for incorporating climate change into sectoral policy, strategy, and legislative environments and providing technical support to exploit these entry points.
- Linking NCCAS implementation to national strategies, concepts, and programs (e.g., National Development Strategy to 2030, Medium-term Development Program 2016-2030)

1.1.1. Clarify and formalize institutional structure and arrangements for climate change adaptation policy and implementation. Stakeholder consultations as well as the NCCAS indicate a clear need to establish clear roles, responsibilities, and channels of communication for climate change adaptation in Tajikistan. This activity will review current laws and arrangements related to climate change adaptation in Tajikistan to review CEP's current mandate for coordination identify gaps in the legal framework, including the draft decree on establishing a coordination mechanism for GCF activities (described in the baseline section). The review will build on the general policy review which was conducted for the preparation of the NCCAS. However, whereas the NCCAS policy review focused primarily on identifying broad gaps and barriers, the review conducted for 1.1.1 will focus on identifying specific entry points for incorporating climate change into policy, strategy, and legislative environments, as well as recommendations for exploiting these entry points. In other words, the objective of this activity is to identify concrete actions to be taken to address the barriers and gaps identified in the NCCAS. The review will also provide recommendations for establishing institutional arrangements to develop the NAP. Based on the findings of this review, a national-level workshop will be conducted including the priority ministries identified in the NCCAS, as well as MoF, MEDT, COES, development partners, and relevant NGOs and CSOs to clarify and ratify stakeholder

roles, responsibilities, and expectations for a formalized and coordinated approach to climate change adaptation, and in particular for implementation of the NCCAS through the NAP process.

This work will build upon the lessons learned during the formulation of the NCCAS, and to the extent possible, utilize and institutionalize the ad-hoc technical working committee that was established for the formulation of the NCCAS. This workshop will also result in the development of an agreed upon strategic vision for the NAP and a roadmap to complete the NAP process along with a mechanism for regularly reviewing and updating the NAP and NCCAS.

1.1.2. Establish horizontal/vertical coordination framework. Based on the outcomes of the review process and national workshop, CEP will lead the formalization of a vertical/horizontal coordination mechanism for climate change adaptation planning and implementation. The coordination mechanism will be in the form of a National Platform for climate change adaptation, similar to the approach that has been used successfully in Tajikistan for coordinating action on disaster risk reduction. The formalization of this mechanism by the executive branch will provide a mandate to the priority sector ministries and other relevant stakeholders to dedicate resources and participate in the Platform, as well as to initiate regulatory reform efforts to mainstream climate change. The Platform will then meet quarterly throughout the life of the project to guide the NAP process. This will also enable the Ministry of Finance to coordinate with the priority sector ministries to incorporate climate change adaptation programming into ministerial budgets. Specific subnational stakeholders that will be targeted for inclusion in the vertical coordination framework will include subnational administrations (provincial, district, and subdistrict), subnational offices of the Ministry of Agriculture, subnational offices of the Committee for Land Use, Geodesy, and Cartography, and subnational offices of the Committee on Environmental Protection, as well as other relevant stakeholders identified during implementation.

1.1.3. Establish monitoring and evaluation system for implementing strategic priorities. This activity will consolidate lessons learned from the PPCR M&E system, which was geared towards the Climate Investment Funds, to establish an M&E system specifically designed for the NCCAS, NAP, and NDC processes. The NCCAS notes that the PPCR M&E system does not collect data on the relevance, effectiveness, and sustainability of climate adaptation initiatives out-side the PPCR, consequently the Government of Tajikistan is not positioned to identify which adaptation efforts are reducing risks and building resilience. Because of this the NCCAS recommends that an M&E system designed for the NCCAS be established. Specifically, the NCCAS recommends expansion of the existing PPCR M&E system to include four components: 1) identification of indicators to measure national capacity and coverage of the current PPCR indicators; 2) developing a set of standardized outcome indicators to measure progress in priority climate adaptation domains and sectors; 3) identify indicators to measure the frequency, severity and duration of climate-related shocks and stresses in Tajikistan; and 4) utilization of existing international development indicators to complement the M&E system. This activity will operationalize these recommendations. CEP will coordinate with the priority sector agencies to identify targets and indicators related to the climate change adaptation priorities of the aforementioned agencies which are consistent with the recommendations of the NCCAS. All indicators will, to the extent possible, include gender-disaggregated components to assist with tracking progress on gender equity in climate change adaptation. CEP will then coordinate with the Statistics Agency to develop SMART indicators for these targets, detailed under Sub-outcome 1.2 below. The M&E system will be included in the NAP and will establish a baseline for the NAP, NCCAS, and NDCs, and will provide a mechanism for measuring progress in implementation, which will feed into the design of subsequent iterations of the NAP, NDC, and NCCAS. Through coordination with COES, the M&E framework will be aligned with the Sendai Framework in addition to Tajikistan's efforts to address the Sustainable Development Goals. This activity includes an inception workshop and annual workshops to review M&E progress. The data for the M&E system will be collected by the Statistics Agency, as described in activity 1.2.1 (below).

1.1.4. Establish and implement stakeholder participation and inclusiveness guidelines. CEP will re-activate the technical working group that was established to support the PPCR project to review current issues related to participation and inclusion as well as best-practices to improve stakeholder engagement in climate change adaptation planning processes. CEP will then convene a workshop including NGOs, CSOs, relevant government stakeholders (including the COES and Ministry of Women's Affairs), development partners, and other relevant stakeholders to formulate stakeholder participation and inclusion standards and procedures for NAP formulation and implementation. Through coordination with COES these guidelines will be applicable to the implementation of the National DRR Strategy as well. The technical working group will then meet semiannually throughout the life of the project to evaluate progress in implementing the inclusiveness guidelines and to ensure that inclusiveness and gender targets are being met. Knowledge products describing the guidelines will be developed and disseminated to stakeholders in the NAP process. Indicators of progress/compliance will be developed and incorporated into the M&E system developed for 1.1.3.

1.1.5. Integrate climate change adaptation considerations into national development planning processes. CEP will coordinate with MEDT to review the current National Development Strategy and associated implementation plans to identify entry points for incorporating climate change adaptation. This will ensure that the NAP process and resulting documents are harmonized with the National Development Strategy and reflect the development priorities in the NDS. CEP and MEDT will also establish procedures for mainstreaming climate change adaptation into future national development strategies and other relevant strategic and mid-term planning mechanisms.

1.1.6. Strengthen disaster risk reduction/climate change adaptation coordination. This activity will ensure coordination between the Committee on Environmental Protection and the Committee on Emergency Situations as they develop their respective implementation plans for implementing the NCCAS and the NDRRS. This close coordination will result in synergies in implementation and cost-savings in terms of DRR and climate change adaptation projects at the national and subnational level. The activity involves the establishment of a coordination team including members from both CEP and COES, which will meet on a semi-annual basis to facilitate strategic coordination. The activity will also support the establishment of a technical working group of 10 national sectoral experts. This working group will meet quarterly to work out the technical details related to disaster risk reduction and climate change adaptation implementation.

1.1.7. Develop and implement awareness-raising campaign for climate change adaptation. The project management team, in coordination with the CEP, will contract with a suitable NGO or academic institution to produce bulletins, public affairs publications, information products, and other materials geared towards raising awareness about climate change as well as the need for climate change adaptation measures. The awareness raising campaign will target both the general public as well as ministry officials and staff and will be aimed at increasing buy-in among government officials for the NAP process. The contracted entity will also identify and utilize appropriate channels for information dissemination.

Sub-outcome 1.2: Statistics Agency develops and implements national indicators and reporting methodology for climate change adaptation planning and implementation.

This sub-outcome focuses on supporting the Statistics agency in developing a set of standardized indicators for establishing a baseline and subsequently monitoring climate change physical processes as well as progress on implementation of adaptation policies and interventions. The indicators and methodologies will be based on NCCAS priorities and will be developed in close consultation with the priority sector agencies. The NSA will also provide support to the agencies with respect to gathering the required data and will develop relevant analytical and synthesis reports to assist agencies in planning as well as with monitoring progress. The sub-outcome will be operationalized via the following activities:

1.2.1. Develop indicators, methodology, and reporting system for climate change adaptation. Based on the monitoring and evaluation framework developed in 1.1.3, the Statistics Agency will develop indicators for climate change adaptation nationally and at the sectoral level. Along with these indicators, the Agency will determine appropriate methodologies and data sources, and will establish reporting guidelines for the priority sector agencies, the Hydro-meteorological Agency, and other relevant stakeholders. These methodologies and data sources will be compiled into a reporting plan which will guide the priority sector agencies in terms of gathering the appropriate data to be submitted to the Statistics Agency. The Statistics Agency will conduct a review of international best practices and will ensure that the indicators are aligned with international standards at the national and subnational levels. The reporting plan will further clarify the respective responsibilities of the Statistics Agency, the priority sector agencies, and the Climate Change Center with respect to monitoring, reporting, and analysis whereby the Climate Change Center is responsible for hydrometeorological data monitoring and maintenance, the sector agencies are responsible for sector-related climate change information, and the Statistics agency is responsible for analyzing and compiling the data and information that is provided to it by the other stakeholders.

1.2.2. Facilitate inter-ministerial coordination for monitoring and reporting. The Statistics Agency will conduct consultations with the priority sector agencies to identify the types of data and information to be included in the M&E system. These consultations will inform the development of the indicators and methodology in 1.2.1. The Statistics Agency will then coordinate with the relevant stakeholders through a series of semi-annual coordination workshops (see 1.2.1) to support them in understanding and implementing the reporting plan. Statistics agency will also work with the priority agencies to gather baseline data for establishment of sectoral baselines.

1.2.3. Develop sector-appropriate M&E and analysis products. The Statistics Agency will coordinate with the priority sectors to develop information products to assist sector ministries in internal monitoring and planning activities. These information products will be developed based on input from the sector ministries and will be produced on a rolling basis throughout the life of the project utilizing existing capabilities and expertise at the Statistics Agency.

1.2.4. Implement periodic updating of climate change process and adaptation indicators. The Statistics Agency will compile data from the priority sector agencies and other stakeholders on a to-be-determined timetable. The Statistics Agency will analyze this data based on the methodologies determined in 1.2.1, and develop periodic reports on NAP, NCCAS, and NDC progress. Reports will be disseminated in hardcopy and electronic formats and will be available in Tajiki, Russian, and English.

1.2.5. Develop and disseminate end-user guidance and sensitization materials on climate change adaptation statistics and indicators. The Statistics Agency will develop user-guidance at targeted audiences (e.g. priority sector agencies, non-government organizations, development partners, UNFCCC, academic institutions, media) and will provide work-shops for specific groups (e.g. media outlets) to raise awareness of the reporting system and also the assist with understanding and interpreting the data and information.

Sub-outcome 1.3: Climate Change Center knowledge management capabilities strengthened.

This sub-outcome focuses on strengthening the technical, human, and institutional capacities of the Climate Change Center (CCC) to serve as the data and information clearinghouse for the NAP process and overall climate change adaptation efforts in Tajikistan. The CCC's role will be to consolidate climate related data and to coordinate and standardize data gathering and management. The improvement of the scientific base through better data collection and research is also consistent with the National DRR Strategy. The CCC will also provide relevant information products and decision support tools to the CEP, Hydromet, sector agencies, and other stakeholders. This sub-outcome will be operationalized through the following outputs:

1.3.1. Develop standards and procedures for climate change data and information. As the agency responsible for gathering and maintaining climate change data and information, the CCC will compile and analyze (including quality check, gap filling, and harmonization) existing datasets related to climate change information to identify gaps and inconsistency in the existing records. As a result of this, climate change data and information will be consolidated into a central repository so that a uniform set of data can be used across applications and sectors. CCC will also develop standards and guidelines for data collection, processing, storage, formatting, and dissemination. CCC will be supported in developing the capacity to coordinate and monitor data for climate change adaptation.

1.3.2. Establish climate change adaptation research program. CCC will work the with the University of Central Asia and priority sector agencies and other stakeholders through the coordination mechanism established in sub-outcome 1.1 to identify research needs to support evidence-based policymaking and project planning for climate change adaptation. These research needs will be compiled into a coherent research program. Based on this research program, the University of Central Asia will coordinate with national universities, government research institutions, and external academic programs to design and implement co-production of knowledge research projects in which academics work together with policymakers to develop research activities that produce outputs that are directly relevant to policymaking and project design.

1.3.3. Establish capacity development program at CCC. CCC will review current staff competencies in the context of NAP, NCCAS, NDRRS, and NDC implementation to identify needed capacities. Based on this, CCC will formulate and implement an agency-wide capacity development strategy focusing on relevant personnel at CCC and Hydromet. This capacity development strategy will be linked to the activities described in sub-outcome 2.3. This capacity building program will include quarterly workshops beginning in Y1Q3 to improve the technical skills of the CCC.

1.3.4. Develop planning tools for climate change adaptation. CCC will establish a mechanism of technical coordination with the priority sector agencies to identify needed tools, knowledge products, and other instruments to assist with the application of climate data and information to practical planning, policymaking, and project development tasks. CCC will then develop these tools in-house, or will identify partners at research and academic institutions, development partners, and in the NGO community to develop the appropriate tools. Priority sectors and responsible agencies that will benefit from the planning tools will include the following:

Energy sector: Ministry of Energy and Water Resources

Water sector: Ministry of Energy and Water Resources; Agency for Land Reclamation and Irrigation, Agency for Hydrometeorology

Transportation sector: Ministry of Transport and Communication

Agriculture sector: Ministry of Agriculture

Spatial planning: Committee for Land Use, Geodesy, and Cartography

District heads and administrations

1.3.5. Establish CCC helpdesk and technical outreach program. CCC will establish a helpdesk and technical outreach mechanism to respond to requests for assistance from priority sector agencies and other stakeholders. Requests for assistance will center on the use of climate data and information. The queries handled by the technical outreach program will inform capacity development efforts in sub-outcome 2.3. During year 2 of the project the CCC will co-ordinate with the project management team, the Ministry of Finance, the CEP, and other relevant stakeholders to develop a sustainability strategy so that the technical outreach program and helpdesk can be maintained beyond the life of the project.

Outcome 2: Priority sector adaptation plans developed, capacities strengthened and a Long-Term Capacity Development Program Established.

Outcome 2 focuses on enhancing capacity for climate change adaptation in 4 priority sector agencies in two parallel streams of activities and outputs that are congruent with the 2 overall goals of the NAP process as described by Decision 5/CP.17 of the UNFCCC:

To facilitate the integration of climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes, and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels, as appropriate; and
To reduce vulnerability to the impacts of climate change, by building adaptive capacity and resilience.

The first stream of activities and outputs focuses on mainstreaming climate change adaptation into sectoral legislation, planning processes, and other day-to-day aspects of governance. The second stream will empower the sectoral agencies to assess their vulnerabilities and subsequently develop a pipeline of fundable climate change adaptation projects, which will contribute to a national pipeline of rigorously-developed projects that are ready to submit to international financiers, including the Green Climate Fund. Each of the two streams will be executed by a technical working group of agencies staff and will be supported by the proposed project. The two sub-outcomes will build on the previous engagement between the NDA and the priority sector agencies which was carried out under the first Readiness project (Strengthening Capacity of National Designated Authority for Strategic Engagement with the Green Climate Fund) in which these agencies identified priorities for GCF interventions. A third sub-outcome will produce a capacity building program that will support the project pipeline sub-outcome and will serve to enhance overall the capacities of the priority sector agencies.

Sub-outcome 2.1: Climate change adaptation mainstreaming into priority sector agency planning and regulatory frameworks advanced.

As noted, sub-outcome 2.1 focuses on mainstreaming activities in 4 priority sector agencies (energy sector: Ministry of Energy and Water Resources; water sector: Ministry of Energy and Water Resources, Agency for Land Reclamation and Irrigation, Agency for Hydrometeorology; transport sector: Ministry of Transport and Communication; agriculture sector: Ministry of Agriculture). The activities in sub-outcome 2.1 will complement the national development mainstreaming activities describes in 1.1, and will strengthen sectoral strategic planning, policy formulation, assessment of vulnerability, and design of adaptation measures. These activities will begin in the second year of the project and will proceed sequentially so that they build upon one another. The proposed project has also been designed to maximize intersectoral coordination and learning, which will lead to emergent synergies, efficiencies, and opportunities for cross-sectoral collaboration. Each of the activities will be carried out by a team of technical specialists from the priority sectors who will meet on a quarterly basis and will be supported by an international consultant. The end result of this sub-outcome will be that the priority sector agencies have developed an implementation plan for main-streaming priorities (e.g. secondary legislation, budgeting, planning protocols). This sub-outcome will include the following outputs:

2.1.1. Appoint sectoral focal points and form working groups. Each of the four priority sector agencies will appoint a focal point who will be part of the national coordination platform and who will be responsible for guiding and tracking climate change adaptation activities within the agency according to the formal framework established by the NAP platform. In addition, two working groups will be established in each priority sector ministry. The first working group will be responsible for sectoral mainstreaming activities (sub-outcome 2.1), whereas the second working group will be responsible for overseeing sectoral vulnerability assessments and project development (sub-outcome 2.2). Sectoral focal points will be responsible for tracking and reporting on progress of NAP implementation. After the focal points and working groups are established, they will all be brought together in a 1-day workshop to introduce the overall objectives of the NAP support project. The focal points will also be responsible for compiling annual progress reports for their sectors.

2.1.2. Conduct sectoral institutional and legal reviews. Each of the priority sectors will conduct a stocktaking/baseline analysis to determine the institutional, policy, and legal gaps that are directly or indirectly related to mainstreaming climate change considerations into day-to-day sectoral planning and governance, and to identify entry points for climate change adaptation (based on priorities described in the NCCAS). Where applicable, this activity will also be coordinated with other institutional strengthening programmes being implemented by UNDP and other development partners. This coordination will be achieved through the Donor Coordination Council, which meets quarterly. This output will begin with a 2-day workshop, led by a technical specialist who will teach the working groups how to conduct the review. Then the working groups will conduct the review over the course of one quarter. The technical specialist will be available to assist remotely and field queries about the process. Upon completion of the reviews, the working groups will reconvene with the technical specialist to review and validate the findings. The output will be 4 baseline/stocktaking analyses.

2.1.3. Formulate strategy for updating regulatory framework (secondary legislation). Based on the 2.1.2 review, sectoral working groups will formulate and implement a plan for addressing regulatory gaps. The strategies will include identifying the appropriate offices responsible for updating the regulatory framework and coordinating with development partners and other relevant stakeholder to formulate ad-hoc technical working groups for designing the necessary regulatory revisions/amendments. These technical working groups will be modelled after the

procedure followed to rationalize Tajikistan's system of electricity tariffs. The strategy will include a timeline and benchmarks for achieving regulatory update objectives.

2.1.4. Revise strategic planning procedures to incorporate climate change adaptation. Sectoral working groups will examine strategic planning procedures and amend them to ensure that climate change adaptation is incorporated into the next and subsequent rounds of strategic planning (e.g. National Agricultural Reform Strategy). In addition, the sectoral working groups and focal points will identify entry points so that sectoral priorities identified in the NCCAS can be incorporated in the programs that are developed to implement the longer-term strategic plans.

2.1.5. Revise job descriptions and formulate professional development plans. Based on the results of the technical review, the sector agency teams will receive technical support to revise job descriptions of current staff to incorporate climate change adaptation and will develop professional development plans for the affected staff. Sector teams will also incorporate sector competency/skill requirements into sectoral recruitment plans for new hires. The personnel management professional supporting this output will visit universities and other educational institutions to socialize them about new skills requirements, and a second curriculum specialist will work with universities and other academic institutions to incorporate new requirements into educational and training curricula.

2.1.6. Design and implement sectoral outreach strategy. Based on the priorities outlined in the NCCAS as well as the NDC, priority sector agencies will develop and implement a targeted outreach strategy aimed at raising awareness about the impacts of climate change, regulatory revisions, and suggested adaptation measures for the regulated community (e.g. Agriculture Ministry will design outreach for farmers, agribusiness, food processing industries, and other relevant constituents).

Sub-outcome 2.2: Priority sector vulnerabilities and priority adaptation options identified.

Sub-outcome 2.2 focuses on identifying vulnerabilities and developing a pipeline of adaptation actions that will feed a national pipeline of adaptation projects, including further elaboration of the basic concepts that have been included in the NCCAS pipeline. The activities in 2.2 will serve to establish a procedure for assessing sectoral vulnerabilities that can be conducted iteratively in a consistent manner through subsequent NAP cycles and for ascertaining progress towards meeting the objectives of the NCCAS.

The structure of the activities will also serve as learn-by-doing opportunity for sectoral agency teams conducting the vulnerability assessments. Much of the work for the NCCAS was conducted by consultants; the activities associated with this sub-outcome will help to build country ownership over the NAP process and will empower the priority sector agencies to plan their own adaptation response. Moreover, conducting the vulnerability assessments iteratively will enable determine vulnerabilities and adaptation priorities as conditions change and new information becomes available in the future; this will be an essential element in the NAP process's flexible approach to climate change adaptation planning and will help to overcome the common problem of future uncertainty. The activities in this sub-outcome will be executed by a second task force of project implementation specialists from the priority sector agencies.

It should be noted here that the project includes budget items for consultants to be engaged to assist with the implementation of sub-outcome 2.2; these consultants will be technical experts and will serve in an advisory and guidance role, but the responsibility for completing the activities will sit with the sectoral working groups. To ensure that skills and competencies are actually being developed among the sectoral working group, the project's monitoring and evaluation officer will develop and track specific indicators and targets to measure the improvement in staff capacities. Each of the consultants engaged to guide sectoral teams in the steps to complete sub-outcome 2.2 will provide a description of core competencies to be developed by the sectoral teams in the execution of 2.2's activities.

The project management team will then devise an appropriate mechanism to gauge the competencies of the teams prior to the initiation of 2.2.1 (pre assessment). Then, upon completion of 2.2.5, the assessment instrument will again be administered to the sectoral teams (a post assessment) to collect data which will indicate the degree to which the requisite competencies have been developed among the sectoral teams. The results of these assessments will be compiled by the project M&E officer into a re-port with recommendations for future capacity building activities. As in 2.1, the task forces will work within the individual sectors but will periodically convene in training workshops to provide them with the skills necessary to conduct the tasks in 2.2. These workshops will be developed in 2.3 and further discussed in that section. The results from activities undertaken in sub-outcome 2.2 will inform the mainstreaming of climate change adaptation into the priority sectors (sub-outcome 2.1).

2.2.1. Conduct baseline analysis in priority sectors. Focal points and working groups in each of the priority sectors will coordinate a stock take of the climate change adaptation-relevant data and information currently available, and will identify gaps and needs for data and information which are consistent with the indicators and standards developed by the CCC in 1.3. This activity will begin in Y2Q2 and will be supported by the training activity produced in 2.3.2. At the end of the quarter the working groups will reconvene to review and validate the findings with the other sectors. During this stock take and based on the experience from the stock take, the working groups will provide inputs for the coalescing of standard operating procedures for conducting future stock takes, which will be

compiled and validated by the expert consultants engaged to assist with the stock take and subsequently included into a hand-book/manual by the project management team.

2.2.2. Conduct priority sector vulnerability assessments. Each of the priority sectors will conduct scenario-building and visioning exercises based on downscaled climate projections developed by the hydrometeorological agency (HYDROMET; there is currently a set of downscaled projections that were developed with support from the PPCR project, and the ADB-GCF project to support HYDROMET will update these projections). These scenarios will form the basis of analyzing sectoral vulnerabilities. Conducting the vulnerability assessments will help to ensure that the priority sector agencies have the capability to iteratively assess vulnerabilities as new information about climate risks becomes available. To this end, while conducting the vulnerability assessment, the working groups will develop formal procedures for conducting future vulnerability assessments.

2.2.3. Generate and prioritize adaptation options for priority sectors. Based on the results of the vulnerability assessments conducted in 2.2.2, each of the priority sector working groups will conduct workshops with relevant stakeholders (development partners, NGOs and CSOs, sector constituents) to review the recommendations made in the NCCAS and develop a “long list” of adaptation options to address the vulnerabilities. These workshops will be based on an extensive review of best practices from around the world for each sector. These working groups will develop and apply evaluation criteria to narrow the long list down to priority adaptation options. During the process of generating and prioritizing options, the working groups will provide inputs for the coalescing of standard operating procedures for conducting future prioritization processes, which will be compiled and validated by the expert consultants engaged to assist with the prioritization process, and which will subsequently be compiled into a hand-book/manual by the project management team.

2.2.4. Compile priority sector pipelines. The working groups in each of the four priority sectors will compile a project pipeline that is consistent with the priorities and project concepts identified in the NAP and NCCAS. Project concepts will include estimated financing requirements, implementation arrangements, and implementation timelines. Project pipelines will be discussed with other priority sectors, relevant agencies, development partners, and NGOs/CSOs to identify synergies and overlaps. During the process of compiling priority sector pipelines the working groups will provide inputs from which standard operating procedures will be distilled. These standard operating procedures will be compiled into a manual for each sector by the expert consultants engaged to assist with this stage of the sectoral vulnerability assessment process.

2.2.5. Finalize priority sector adaptation plans. Each of the priority sectors will compile a sectoral adaptation plan including the project pipeline, regulatory reform strategy, and timeline for implementation. These adaptation plans will be included in the first National Adaptation Plan for implementation of the NCCAS. The process of finalization will include a period for public review and comment and also for a stakeholder validation workshop for each of the priority sector plans.

Sub-outcome 2.3: Long-term climate change adaptation capacity development program established and implemented.

As noted in the barriers analysis, there is currently no formalized system for developing capacity for climate change adaptation planning and management in Tajikistan. At the same time, there is high staff turnover, and so knowledge and experience relevant to climate change adaptation planning and project management are often lost. The activities in this sub-outcome will address these difficulties by establishing a permanent capacity-building center for climate change adaptation planning and management to be hosted by the University of Central Asia. This center will include an accredited post-graduate certificate program that will help to foster a community of practice as well as the institutionalization of climate change adaptation knowledge with the University.

2.3.1. Establish capacity building infrastructure. CEP will establish a formal structure for capacity development programming to be based at the University of Central Asia (UCA). This will be based on consultations with relevant stakeholders to determine the most appropriate content and instructional modalities. This structure will include the provision of professional development short courses, as well as the establishment of a post-graduate program focusing on climate change adaptation, which will provide a sustainable platform for long-term professional development needs. Specific elements of the formalized structure will include the following:

- Establishing a Memorandum of Understanding (MoU) between CEP and UCA;
- Identifying/recruiting UCA personnel (faculty, administrators) to be part of the development and implementation team at the university. This will include identification of a programme coordinator or supervisor;
- Establishing procedures for the review and evaluation of course materials;
- Establishing a graduate certificate or endorsement program that is consistent with the accreditation requirements of UCA;
- Determining rules of eligibility for participants in the professional development program;
- Developing awareness raising materials so that potential participants know of the existence of the UCA programme;
- Establishing knowledge exchange and other partnerships and networks with universities outside Tajikistan.

2.3.2. Formulate capacity development curricula. UCA will be supported by international experts to develop targeted 1-week short-courses on 5 topics: 1) introduction to climate change; 2) use of climate data and information in planning; 3) Identification of sectoral climate vulnerabilities; 4) effective monitoring and evaluation of climate change adaptation policies and projects; and 5) climate change adaptation project preparation and finance. Each of these short courses will be based on international best practices and will be developed in English, Russian, and Tajik.

2.3.3. Implement sectoral capacity development program. In coordination with the activities in 2.2, UCA will implement the short courses developed in 2.3.2 to support the formulation of sectoral vulnerability assessments and other tasks associated with the development of the sectoral adaptation plans in sub-outcome 2.2. The priority sector agency focal points and working groups for 2.2 will receive instruction through the short courses so that they can execute the tasks in sub-outcome 2.2. Other national and subnational government staff will be invited to the short-courses, and they will be also open to participation from interested NGOs.

2.3.4. Establish post-graduate program for climate change adaptation planning and management. The short-courses developed in 2.3.2 will form the foundation for expanded and comprehensive courses that will serve as the core of an accredited post-graduate program focusing on climate change adaptation that will address longer-term capacity development needs for current and future government officials and non-government stakeholders. The post-graduate program will fulfill the need for a program that trains climate change professionals for government and private sector work in Tajikistan. It will also provide a space for current government and private sector employees to participate in continuing education and professional development programs so that they can incorporate competencies in climate change adaptation planning and management into their existing professional skill set. In addition, the existence of the program will enable students in other degree and professional development programs to take climate change courses, thus adding an additional dimension to their training. The post-graduate program will also contribute to the longer-term objective of developing a corps of skilled climate change professionals that can work for the government, the private sector, and for development partners implementing projects, thereby reducing the need to bring in international consultants.

2.3.5. Develop and pilot e-learning modules for national and sub-national government stakeholders. UCA will receive technical support to develop and pilot practical information modules relevant to climate change adaptation topics (e.g. general climate change physical processes, adaptation concepts, planning for climate change adaptation, project development, and other topics) for internet delivery for subnational levels of government as well as other stakeholders.

Outcome 3: Implementation capacities for climate change adaptation established/strengthened.

The third outcome focuses on building capacities to implement the NAP, and covers the development of a financing plan (sub-outcome 3.1), capacitating subnational authorities (sub-outcome 3.2), and engaging the private sector (sub-outcome 3.3)

Sub-outcome 3.1: Establish and institutionalize a financing mechanism for NAP/NCCAS/NDC implementation.

Sub-outcome 3.1 focuses primarily on developing a financing plan to guide the implementation of the national and sectoral measures developed in sub-outcomes 1.1 and 2.2. The financing plan will help to improve the absorptive capacity of CEP and Tajikistan with respect to external support for priority adaptation measures. It will also identify domestic public-sector sources of finance, including entry points for climate change adaptation activities in existing national and sectoral budgets. During the project design phase, the GCF NAP support grant project team conducted initial consultations with the USAID C5+1 initiative, which specializes in supporting the establishment of enabling conditions for programme and project finance at the sectoral level in Central Asia, and so to the extent possible, sub-outcome 3.1 will be conducted in coordination with the USAID C5+1 initiative.

3.1.1. Establish and convene NAP finance working committee. The working committee will include representatives from development partners and development banks active in Tajikistan and will help to ensure coordination between these stakeholders and will also facilitate structured dialogue between GCF and AF accredited entities operating in the country and the NDA. The working group will oversee efforts to assess potential costs of both climate change impacts and as well as adapting to climate change. The working group will also guide the development of the financing plan which will include the cost estimates as well as linkages between priority adaptation measures and the appropriate sources of financing (e.g. public/private, national/international). The working group will also work to identify entry points in national and sectoral budgets for climate change adaptation activities. The working group will coordinate with the sectoral working groups established for sub-outcome 2.1. The working group will be convened quarterly.

3.1.2. Establish monitoring and oversight procedures for climate finance flows. This activity includes the establishment of procedures for monitoring all sources of internal and external climate finance so that there is an accurate accounting of progress towards meeting the financing needs described in the NCCAS and the NDC. Monitoring procedures will include budget tagging procedures national and subnational sources of financing.

3.1.3. Conduct sectoral financial building blocks assessment. The NCCAS notes that addressing climate change will require utilizing diverse financing sources, including national and international funds, as well as private and public sources of finance. However, the NCCAS does not provide specific guidance for the priority sectors in terms of mainstreaming climate change adaptation into their budgeting processes or matching various adaptation priorities (e.g. projects, agency activities, enforcement actions, policy incentives) with the appropriate source of financing (e.g. loans vs grants vs own-source revenues; private vs public sector finance). This activity aims at assisting the priority sector agencies with identifying costs of adaptation as well as sources of finance and entry points for mainstreaming climate finance into budgeting. Each of the priority sectors will receive support to analyze gaps and opportunities related to financing sectoral climate change adaptation activities. This activity will result in an assessment of gaps and barriers to climate financing along with recommendations that will inform activity 3.1.4 (below).

3.1.4. Enabling conditions for project finance established in priority sectors. In this activity the priority sectors will be supported in following the recommendations from the assessment in 3.1.3. This activity will include coordination with the Ministry of Finance to identify entry points in existing sectoral budgets to incorporate climate change adaptation expenditures.

3.1.5. National budgetary review completed. The Ministry of Finance will receive support from an international climate finance expert to review the national budget to identify current expenditures that are consistent with disaster risk reduction and climate change adaptation priorities, as well as existing line-item entry points through which adaptation components could be added to existing expenditures.

3.1.6. Formulate financing plan, roadmap, and sustainability strategy for combined project pipeline. The financing plan will also match the projects identified in the NCCAS with the appropriate financiers (e.g. ADB, GCF, private sector, locally generated revenues) and modalities (concessional loans, grants, equity instruments, etc.). The financing plan will include a sustainability strategy for the project pipeline which details how the GoRT will ensure that investments are maintained after the life of the project. This financing plan will also identify at least two (and more if possible) concepts in the project pipeline to be developed into GCF project concepts.

Sub-outcome 3.2: Subnational capacities for climate change adaptation mainstreaming, planning, and project implementation enhanced.

3.2.1. Develop knowledge products, awareness-raising materials, and relevant tools for subnational authorities and other stakeholders. A national NGO or academic institution will be contracted to support the Ministry of Economic Development and Trade in producing awareness raising materials on climate change threats, adaptation measures, and other relevant topics for subnational stakeholders. These materials will complement the national campaign de-scribed in activity 1.1.7 by developing materials targeted to specific geographic and cultural contexts, including primary and secondary school materials. These knowledge products and materials will specifically target provincial, district, and sub-district leaders and their staffs, subnational staff of the Committee on Land Use, Geodesy, and Cartography (COLUGC), as well as CEP staff at subnational levels and Ministry of Agriculture offices at the provincial, district, and subdistrict level. Materials for CEP staff will include guidance on tracking local-level climate change adaptation activities and reporting to the National CEP.

3.2.2. Develop and pilot subnational guidelines for identifying and assessing climate-related risks and vulnerabilities. This activity will gather and analyze methodologies used in previous subnational-level vulnerability assessments (by NGOs, development partner projects, etc.) and analyze lessons learned to develop a standardized set of risk and vulnerability assessment guidelines. Through coordination with the implementation of the National DRR Strategy, these guidelines will incorporate disaster risk screening as well. In addition, the guidelines will include procedures for reporting on the results of vulnerability assessments to the Ministry of Economic Development and Trade so that the results of subnational vulnerability assessments can be incorporated into national and sectoral climate change adaptation planning processes and projects. Guidelines will be piloted in several districts during year 3 of the project.

3.2.3. Develop and pilot guidelines for incorporating climate change adaptation and disaster risk reduction into sub-national planning and budgeting. This activity complements 3.2.2 and builds on mainstreaming procedures that were piloted during the PPCR project to establish a uniform set of guidelines and procedures for incorporating climate change adaptation and disaster risk reduction into district-level planning and budgeting processes. In coordination with the University of Central Asia and activity 2.3.5, information products will be developed to assist subnational government officials in applying guidelines. This activity will have a specific focus on providing

awareness raising materials and guidance to local offices of the Committee on Land Use, Geodesy, and Cartography to facilitate mainstreaming of climate change adaptation considerations into spatial planning.

3.2.4 Establish mechanism for coordinating subnational adaptation actions and scaling up/replicating successes.

This activity will include coordination with the Ministry of Finance to identify entry points in existing sectoral budgets to incorporate climate change adaptation expenditures. Local staff of CEP will be targeted to assist with monitoring adaptation progress at subnational levels and capturing lessons learned for scaling up and replication.

Sub-outcome 3.3: Private sector engaged in climate change adaptation activities at national and sectoral levels.

3.3.1 Formulate private sector baseline analysis and strategy. The analysis will include identifying the most promising sectors/areas for private sector engagement and understanding barriers and incentives to investments in climate change adaptation and climate resilient development pathways. Based on this analysis, a strategy will be developed to highlight potential regulatory reforms/incentives programs that would crowd in private and capital market financing for the implementation of NCCAS priorities.

3.3.2. Establish private sector outreach mechanism. CEP will identify an appropriate institution/agency within Tajikistan to establish a private sector outreach mechanism which will serve to increase private sector engagement in consultative processes associated with the NAP, NCCAS, and NDC processes. This mechanism will be overseen by a private sector advisory panel consisting of members from the private sector, national banks and financial institutions, the Ministry of Finance, development banks (ABD, EBRD, WB, KfW), relevant NGOs, and other relevant stakeholders. The private sector outreach mechanism will be designed and implemented in coordination with the Committee on Environmental Situations to ensure alignment with the objectives of the National Disaster Risk Reduction Strategy.

3.3.3. Develop awareness-raising and knowledge products to support private sector adaptation. This activity supports the development of targeted knowledge products and guidance for the private sector to increase awareness as to the physical processes associated with climate change in Tajikistan, their potential impacts on the relevant sectors and business interests, and the importance of building resilience at both the site level and in value chains. Specific types of knowledge products will be determined during implementation based on stakeholder consultations and a review of existing products in use in other countries, but some specific topics to cover will include:

- Understanding the role of public and private sector finance as well as innovative financing mechanisms and blended finance options and public-private partnerships to fund adaptation measures;
- Understanding climate risks and how to utilize climate change data (including the data and information generated by other activities in the NAP process, such as vulnerability assessments) in managing risk, planning investments, and attracting development finance and private sector investment in adaptation measures.
- Conducting private sector investment-specific workshops
- Understanding GCF private sector opportunities and priorities and guidance for developing private sector facility concepts and projects.

A note on the sequencing of outcomes, sub-outcomes, and activities: The three outcomes of the project build upon one another, and so the outcomes will for the most part be implemented sequentially, with some overlap. The over-all structure of the project can be thought of as follows: outcome one lays the foundation for adaptation planning and strengthens institutions and mechanisms of coordination for national adaptation planning and implementation of the NCCAS. This is the necessary first step because there is such a low baseline in terms of institutional capacity and coordination in Tajikistan. Once a solid institutional footing and formalized mechanisms of coordination are established, outcome two will support the priority sectors in developing their adaptation plans and conducting vulnerability assessments. These tasks must follow outcome one, because currently there is no clear understanding among the priority sector agencies concerning their role in adaptation planning, how they will be supported by the CEP, or the overall objectives and goals for adaptation planning. Finally, once outcomes one and two are well underway, outcome three will begin, as it supports implementation of the NAP process outputs.

The sub-outcomes within each outcome will also be implemented sequentially with some exceptions. For outcome one, sub-outcome 1.1 addresses broad institutional gaps with respect to planning, coordination, and the roles of the various government stakeholders in the NAP process. Thus it is critically important to address these issues first. Sub-outcome 1.2 then will implement the monitoring and evaluation that is formulated in activity 1.1.3, which itself is contingent on activities 1.1.1 and 1.1.2. Sub-outcome 1.3 will be implemented in parallel with sub-outcome 1.2, since they both target different government agencies (1.2 targets the Statistics Agency whereas 1.3 targets the CCC). Sub-outcomes 2.1 and 2.2 will be implemented largely in parallel because these two sub-outcomes will inform one another.

Sub-outcome 2.3 will be implemented after 2.1 and 2.2 because it will build on the outputs of each, and is designed to capture the lessons learned from each of the two previous sub-outcomes as well as to establish a permanent home for the capacity building products established for 2.1. Sub-outcomes 3.1, 3.2, and 3.3 will be implemented in parallel, since the target different levels of government (national level vs. district level) and economic sectors (public vs. private).

To the extent possible the various outcomes, sub-outcomes, and activities of the project will feed into one another. For example, the results of the sectoral vulnerability assessments in 2.2 will inform development of capacity building and awareness raising materials in other parts of the project (e.g. 2.1, 2.3, 3.3). The stakeholder participation and inclusiveness guidelines will also inform activities in other project components and will be used to facilitate gender inclusiveness in private sector outreach activities to ensure that women and women owned SMEs are meaningfully engaged in these activities and benefit from their outputs.

Likewise, the end-user guidance on the M&E statistics and indicators developed in 1.2.5 will be used in capacity building activities in 2.1, 2.3, and will inform the development of knowledge products in 3.3. Information from the private sector engagement mechanism and related activities conducted on outcome 3 will inform the climate change adaptation research program established in 1.3.2, and the Climate Change Center helpdesk and outreach program will likewise be made available to private sector stakeholders for climate change related inquiries.

Sector vulnerability assessments developed in 2.2 will inform the development of knowledge products for the private sector (3.3). Additional opportunities for cross-fertilization between outcomes, sub-outcomes, and activities identified during implementation will also be exploited.

The project will ensure complementarities and synergies with other ongoing programmes and projects implemented in Tajikistan by international community, including those that are implemented by UNDP Country Office, that are of relevance to the NAP process. These complementarities will ensure continuity of project efforts and will also ensure cost-effectiveness through the portfolio approach.

Institutional Structure

In response to the establishment of the Green Climate Fund, in 2014 the GoRT appointed the **Committee for Environmental Protection (CEP)**, which, since 2014, has served as the NDA for issues related to the GCF. The CEP was established in 2008 as a specialized agency overseeing the use of natural resources and environmental protection and serves as the central government authority responsible for implementation of public policy in the area of environmental conservation, hydrometeorology, and rational use of natural resources. The CEP, as the NDA, will be the main beneficiary of the project and will coordinate the implementation of the project in tandem with the UNDP country office in Tajikistan. The CEP has district units (see note below for elaboration on Tajikistan's vertical governance structure) with permanent staff in each district of Tajikistan. CEP also has departments at the provincial level. The total staffing levels at CEP are approximately 400, with approximately 40 people working at the central office in Dushanbe. At the **provincial** and **district** level the departments have no autonomy with respect to formulating policy; they conduct monitoring and oversight of the policies adopted at the central level while coordinating with authorities at the province, district, and sub-district levels. At the **sub-district** level, the CEP offices have some degree of autonomy (e.g. with respect to regulating environmentally damaging activities), but these plans must be approved annually by the national CEP office in Dushanbe. CEP staff at local levels in general have limited knowledge on climate change and climate change adaptation, and they have no guidance or procedures on how to advise or monitor adaptation activities that take place at subnational levels, either on the part of NGOs, local governments, or individuals. This makes it difficult for CEP comprehensively inventory and track adaptation activities at any level other than the national level. These gaps will be addressed through the proposed NAP support project.

- The **Hydrometeorological Agency of Tajikistan (Hydromet)** reports to the CEP and is the lead agency for climate change. Hydromet is responsible for leading the preparation of national communications to the UNFCCC in coordination with key ministries and agencies as well as the preparation of GHG inventories. In addition, Hydromet is the government agency providing climate and weather information and forecasting to the general public in Tajikistan. The **Climate Change Center (CCC)** is situated within Hydromet and is responsible for managing climate-related re-search and reporting related to adaptation and mitigation. The CCC will also be a beneficiary of the project through capacity building and institutional support to address needs identified in the gaps analysis (below). Several other agencies have an indirect involvement with climate change adaptation planning in Tajikistan and will be involved in the implementation of the proposed project and the establishment of the NAP process.

- The **Ministry of Economic Development and Trade (MEDT)** plays an important role in climate-related governance and is responsible for state investment plans and coordination of the National Development Strategy. It is also the co-executive body for the National Action Plan for Climate Change Mitigation and Adaptation. MEDT also is responsible for overseeing the effective implementation of socioeconomic development priorities and has

a role in developing sustainable strategies. In addition, MEDT coordinates planning activities at subnational levels. MEDT will be involved in the project with respect to identifying entry points to national and subnational planning processes for climate change adaptation considerations.

- The **Committee on Emergency Situations and Civil Defense (COES)** is also relevant to climate change adaptation planning and is engaged in early warning, disaster prevention, and recovery. COES is directly authorized and responsible for management of emergency situations due to natural disasters.

- The **State Statistics Agency (SSA)** is responsible for statistics policy and economic analysis.

The proposed project will also operate through several other agencies as it seeks to enhance climate change adaptation planning and implementation capacity in priority sector ministries. These agencies include the **Ministry of Agriculture**, which is responsible for developing and implementing national agricultural policy. MoA has several key responsibilities relevant to climate change adaptation, including developing production forecasts, identifying development trends, providing support to agricultural producers, predicting the state of the agricultural sector, and providing necessary information for public and local authorities, institutions, enterprises, and civil society.

- The **Ministry of Agriculture** also plays an important role at subnational levels and hence will be included in outcome 3 activities aimed at strengthening capacities and mainstreaming of climate change adaptation considerations at subnational levels. MoA has departments at the province and district level which have no autonomy with respect to independent policy making, but they do conduct monitoring and oversight of policies adopted at the central level and have a strong role in coordinating with administrations at the province, district, and sub-district levels. This provides a key entry point for strengthening adaptation planning and implementation at these levels in the agricultural sector.

- The **Agency for Land Reclamation and Irrigation**, which is responsible for developing national policy and regulations in the area of water usage and conservation, will be the beneficiary of sectoral capacity building support under outcome 2. The Agency has several important roles relevant to climate change adaptation, including controlling irrigation, drainage, and other structures for water distribution, developing plans for water distribution, and developing an annual plan for new land development.

- The **Committee on Land Use, Geodesy and Cartography (COLUGC)** is responsible for the formulation and implementation of policy in the area of state land management, land cadaster, land surveying, mapping, state registration of immovable property, and state control over land use and conservation. COLUGC has local units at the district level which coordinate spatial planning in Tajikistan, making this agency among the most powerful and influential at the local level, as they distribute/lease land for all purposes (e.g. construction, agriculture). Decisions made by COLUGC offices are particularly important because land cannot be bought or sold in Tajikistan; rather it belongs to the state. COLUGC is therefore a key stakeholder at subnational levels in Tajikistan in terms of incorporating climate change adaptation considerations into land management and spatial planning and will hence be a focus for awareness raising, capacity building, and mainstreaming activities in outcome three of the project.

A note on subnational governance and vertical coordination/integration. The proposed project will support the NDA in strengthening vertical coordination for adaptation planning, as well as integration of climate change adaptation into subnational processes of governance. The governance structure in Tajikistan is divided into four main levels: the **national** government, the **provincial** (*viloyat*) level, the **district** (*raion*) level, and the **sub-district** (*jamoat*) level. Provincial and district heads are appointed by the President, whereas the sub-district heads are appointed by the district heads. With respect to climate change adaptation and disaster risk reduction, these subnational governments do not create their own policies, but rather are guided by the national strategic documents in their decision-making processes. Therefore, the NAP process will articulate guidance for implementing the National Climate Change Adaptation Strategy at these subnational levels. With respect to development planning, districts formulate three-year development plans which prioritize actions to be funded. However, in most districts funding is lacking for implementation of these plans. In these cases, the plans serve as an instrument to mobilize funds for NGOs/donor agencies.

Implementation Schedule of Outcomes and Activities (Gantt Chart)

This project's three outcomes and corresponding sub-outcomes and activities will be largely sequential.

Outcome 1 focuses on information gathering, mandate setting, and capacity building.

All of these are critical at the outset of the project and will provide a foundation to inform and enable the NAP process and corresponding climate change adaptation mainstreaming efforts (Outcome 2).

Outcome 3 focuses on future planning – enabling future iterative NAP update, setting up M&E standard operating procedures, and forming financing plans for future implementation

Outcomes	Deliverables	Anticipated Duration: 36 months												
		Quarterly Implementation Plan of Activities												
		3	6	9	12	15	18	21	24	27	30	33	36	
<i>1. Governance, coordination, and institutional arrangements for climate change adaptation planning and implementation strengthened</i>	Deliverable: Institutional Review Report													
	Deliverable: National platform established													
	Deliverable: M&E framework and manual.													
	Deliverable: Stakeholder inclusiveness guidelines.													
	Deliverable: M&E methodology manual													
	Deliverable: Statistical analysis and interpretative products													
	Deliverable: Quarterly bulletins													
	Deliverable: Data and information products manual													
	Deliverable: Capacity development strategy													
	Deliverable: Planning tools													
<i>2. Priority sectors develop adaptation plans and capacities</i>	Deliverable: Priority sector institutional reviews													
	Deliverable: Priority sector regulatory strategies													
	Deliverable: Priority sector outreach materials													
	Deliverable: Priority sector baseline reports													
	Deliverable: Priority sector vulnerability assessments.													

	Deliverable: Priority sector adaptation plans																											
	Deliverable: Capacity development short course curricula																											
	Deliverable: Post-graduate climate change adaptation																											
	Deliverable: E-learning modules																											
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3. Support implementation of National Adaptation Plan process outputs	Deliverable: Sectoral financial building blocks assessment																											
	Deliverable: Financing plan, roadmap, and sustainability strategy for project pipeline.																											
	Deliverable: Knowledge products and awareness raising tools																											
	Deliverable: Subnational guidelines for climate change risks and vulnerabilities.																											
	Deliverable: CCA/DRR incorporation guidelines for subnational																											
	Deliverable: Private sector baseline analysis.																											
	Deliverable: Private sector outreach products and tools																											

Project assumptions and risks

This project proposal makes several assumptions based on consultations with government and non-government stakeholders:

- The project assumes that documentation and lessons learned from other GCF projects in Tajikistan will be made available to the implementation team (based on consultations with development partner accredited entities);
- The project assumes that the executive branch of government will support the establishment of a national platform for climate change adaptation policy which will create a mandate for all agencies to participate in the NAP process (based on consultations with the NDA and the executive branch);
- The project assumes that priority sector agencies will participate in the project's activities (based on consultations with the priority sector agencies and a mandate from the executive branch).
- The project assumes that the Statistics Agency will participate in project activities (based on consultations with the Statistics Agency and an examination of that Agency's remit).

#	Description of the Risk	Potential consequence	Countermeasures Management response	Type: Risk Category	Probability and Impact (1-5)
1	Lack of capacity within CEP and other government agencies to implement NAP support project	Project implementation is delayed and less than effective	The project has a major capacity building component aimed at strengthening human resources in the CEP and priority sector agencies. These capacity building activities have been designed to respond to specific gaps and weaknesses and will incorporate lessons learned from other capacity development projects.	Organizational	P=2 I=3
2	High turnover in government agencies involved in NAP processes	Loss of institutional memory; additional time required to train new personnel; slower formulation of NAP and implementation of NCCAS	This is an issue that plagues virtually every agency in Tajikistan as government salaries are extremely low when compared to private sector opportunities, both domestically and internationally. This risk is exacerbated by the high number of climate change project being implemented in Tajikistan. To address this risk, the project has a robust mechanism of coordination with development partner agencies as well as non-government stakeholders, where significant expertise exists. In addition, the project's sub-outcome 2.3 will establish a capacity development program at a national university that will make training in professional skills relevant to climate change adaptation more readily available, thus contributing to a long-term increase in overall capacity in government.	Organizational	P=4 I=2
3	Ministries do not participate in NAP process and do not follow the lead of the CEP.	Lack of stakeholder buy-in; inability to fulfil project objectives	This risk exists because of the status of the CEP vis-à-vis line and coordinating Ministries; the CEP no longer Ministerial status and therefore does not have the equivalent authority of the Ministries and cannot direct the ministries to participate in the NAP process. For this reason, the project follows the model of the National Strategy on Disaster Risk Reduction, which was developed through a process of Inter-ministerial coordination led by the Committee on Emergency Situations, which has the same status as CEP. This process was successful because it began with a mandate from the Prime Minister, which compelled the line and coordinating ministries to participate in the process. In outcome 1, the NAP support project will obtain a similar mandate.	Organizational	P=1

4	Inter-ministerial co-ordination is lacking	Uncoordinated implementation leads to delayed implementation and suboptimal results	The project's activities have been designed to formulate and institutionalize an effective mechanism of horizontal coordination.	Organizational	P=2 I=3
5	Resistance from politically entrenched sectors and minimal sharing of information	Ineffective coordination and knowledge sharing decreases effectiveness and impact of NAP process	This issue is common in Tajikistan, as there is often minimal sharing of information across ministries and agencies. To address this issue, the project has strong outreach to the various ministries and agencies to demonstrate the utility of the NAP process. In addition, because the NAP process will likely lead to enhanced support for the ministries and agencies, they have enthusiastically supported the development of the NAP proposal and have expressed support for the project. The project enjoys strong support from all agencies and ministries in Tajikistan.	Political	P=2 I=3
6	Potential risk of delays in procurement at the start-up phase of implementation	Project implementation is delayed and less than effective.	The project has been designed with due consideration to the heavy procurement plan, and as such the project proposes a robust 4 person PMU as well as the backstopping of procurement services from UNDP Country Office in Tajikistan. Together these are designed to effectively and efficiently support the procurement activities, thus reducing the risk of delays in start-up.	Organizational	P=2 I=3

7	<p>The global COVID19 pandemic and its impacts on Tajikistan may affect the project implementation causing delays in the implementation of the project interventions associated with engagement of local (district and sub-district level) authorities, travel and trainings/works hops (mass gatherings), due to the fact that it may be difficult for project stakeholders to adapt to the new "online" reality by shifting these interventions into online mode, due to limited internet connectivity across the country, its high costs, limited capacities of stakeholders in utilizing these approaches in their routine.</p>	<p>Project implementation is delayed and less than effective</p>	<p>The project will consider designing online training interventions, where possible, and will support the project stakeholders, located in the rural areas, by ensuring internet connectivity. During face-to-face trainings, the project will ensure all precautionary measures to prevent COVID19 spread, are taken (such as limiting number of participants in the trainings, provision of masks and sanitizers, etc.). The project will continuously document lessons learnt in design and application of online trainings to ensure they can be applied to the project going forward.</p>	<p>Operational</p>	<p>P=2 I=3</p>
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8	Potential adverse social and environmental impact of project activities on marginalized communities and/or geographical zones in Tajikistan	Population and environment are adversely affected	<p>The project is divided into 3 outcomes on all centered around building capacity for effective adaptation planning in Tajikistan. As such the project is concerned solely with a) preparation and dissemination of reports, and b) organization of events, workshops and trainings. All the activities fall under the exception criteria for SESP and do not contribute to any potential social or environmental impacts. There are no concrete adaptation interventions (pilot or otherwise) envisaged under this project.</p> <p>Furthermore, to ensure a transparent and inclusive process and that marginalized and vulnerable populations are engaged, the project establishes a technical committee (please see project support and local stakeholders on page 48, project management and governance section) comprised of all key actors. Stakeholder engagement plan will also be produced and implemented to ensure broad-base engagement of stakeholders throughout the lifetime of the project.</p>	Social and Environmental Safeguards	P=1 I=1
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9	Resistance from the Ministry of Finance to provide financing required for National Adaptation Plan (NAP) implementation and monitoring of prioritized adaptation actions.	Project implementation is less than effective	<p>The project will explore and adopt the best practices in securing a range of potential sources of finance - private and public, international and domestic - to achieve the adaptation ambitions determined through their NAP processes. The project will consider which sources of financing may be appropriate to meeting Tajikistan's financing needs.</p> <p>The project will also ensure complementarities with other ongoing initiatives focused on innovative financing and private sector engagement.</p>	Organizational	P=2 I=3
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Project Sustainability

The project has been designed to ensure the sustainability of the outputs and outcomes from the project. Specifically:

Datasets. The datasets, as well as responsibility for updating, disseminating, and making the publicly available will be transferred to the Climate Change Center, which is being strengthened by sub-outcome 1.3 of this project. The CCC will provide a permanent home for the datasets and will establish protocols to make the datasets accessible and available to any relevant organizations in the country, as well as development partners and other stakeholders.

Curricula and training materials. All of the curricula and training materials developed for this project will continue to be used beyond the life of the project through several channels. First, the materials will be transferred to the University of Central Asia and will be updated and maintained there as part of the climate change graduate program that is being established there in sub-outcome 2.3 of the project. Second, all materials will be archived by the Committee on Environmental Protection and the Climate Change Center for use in future trainings and workshops and to inform the development of subsequent capacity building materials. Third, all materials will be made available online at UNDP's country office web portal. lastly, the materials and curricula will be distributed to other development partners, national and international NGOs, and other relevant stakeholders to be incorporated into their current and ongoing programs.

IV. PROJECT RESULTS FRAMEWORK

<p>This project will contribute to the following Sustainable Development Goal (s): 13, 2, 5, 9, 12, 15¹</p> <p>This project will contribute to the following country outcome included in the UNDAF/Country Programme Document: Outcome 6: People in Tajikistan are more resilient to natural and man-made disasters and benefit from improved policy and operational frameworks for environmental protection and sustainable management of natural resources</p> <p>This project will be linked to the following output of the UNDP Strategic Plan:</p> <p>2.3.1 Data and risk-informed development policies, plans, systems and financing incorporate integrated and gender-responsive solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent risk of conflict</p>				
<p>NOTE: Paste the GCF approved log-frame below</p>				
OUTCOMES/Sub-outcomes	BASELINE	INDICATORS	TARGET	ACTIVITIES <i>Please including key outputs or deliverables where applicable</i>
<p>1. Governance, Coordination, and Institutional Arrangements for climate change adaptation Planning and Implementation Strengthened</p>				
<p>1.1 Committee on Environmental Protection strengthened as lead agency and coordinating body for climate change adaptation</p>	<p>No horizontal or vertical institutional structures or procedures exist for climate change adaptation planning and implementation</p>	<p>Institutional arrangements in place for CCA planning, implementation, and coordination are in place</p>	<p>Institutional arrangements for climate change adaptation planning and implementation, including vertical and horizontal coordination, established and implemented and led by CEP</p>	<p>Clarify and formalize Institutional structure and arrangements for climate change adaptation policy and implementation Establish Horizontal/Vertical coordination framework Establish Monitoring and Evaluation system for implementing strategic priorities Establish and implement stakeholder participation and inclusiveness guidelines Integrate climate change adaptation into national development planning processes Strengthen disaster risk reduction-climate change adaptation coordination Develop and implement awareness raising campaign.</p> <p>Deliverable/s: Institutional review report (1.1.1; by Qtr2 YR1)</p>

¹ This project will directly contribute to the achievement of all SDG 13 targets (Strengthening resilience and adaptive capacity to climate-related hazards and natural disasters; Integrating climate change measures into national policies, strategies and planning; and Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning). This project also contributes to achievement of the targets of SDGs 2, 5, 9, 12, and 15 by ensuring access, in particular of the poor and vulnerable, to safe, nutritious and sufficient food all year round, by reducing disaster related losses; ensuring women's full and effective participation and equal opportunities; upgrading infrastructure and retrofit industries to make them more resilient and sustainable; ensuring access to relevant information and awareness for resilient development); and ensuring the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services.

				<p>National workshop to validate institutional arrangements; 30 participants (1.1.1; by Qtr3 YR1)</p> <p>National platform established (1.1.2; by Qtr4 YR1)</p> <p>Quarterly national platform meetings for 25 participants, 10 meetings total (1.1.2; by Qtr4 YR3)</p> <p>M&E framework and manual (1.1.3; by Qtr4 YR1)</p> <p>Annual monitoring and evaluation progress workshops for 25 participants, 3 workshops total (1.1.3; by Qtr4; YR3)</p> <p>Stakeholder inclusiveness workshop; 30 participants, 1 workshop (1.1.4; by Qtr4 YR1)</p> <p>Stakeholder inclusiveness guidelines (1.1.4; by Qtr2 YR1)</p> <p>Semi-annual workshops for inclusiveness and gender working group, 6 workshops,</p> <p>20 participants each (1.1.4; by Qtr4 YR3)</p> <p>Climate change adaptation/disaster risk reduction coordination mechanism established (1.1.6; by Qtr2YR2)</p> <p>Quarterly workshops to support DRR/CCA policy working group, 15 participants each 10 workshops (1.1.6; by Qtr4 YR 3)</p> <p>Awareness raising campaign implemented (1.1.7; by Qtr4 YR1)</p>
<p>1.2 Statistics Agency develops and implements climate change indicators and reporting methodology for climate change adaptation planning and implementation</p>	<p>No MRV system for climate change adaptation planning and implementation exists</p>	<p>Monitoring, reporting and verification mechanisms for CCA planning and implementation are in place</p>	<p>Climate change MRV system including gender-disaggregated targets, indicators and reporting methodology developed</p>	<p>Develop Indicators, methodology (means), and reporting for climate change adaptation</p> <p>Facilitate Inter-ministerial coordination for monitoring and reporting</p> <p>Develop Sector-appropriate M&E and analysis products</p> <p>Implement Periodic updating of climate change process and adaptation indicators</p> <p>Develop and disseminate end-user guidance and sensitization materials on climate change adaptation statistics and indicators</p> <p>Deliverable/s:</p> <p>M&E methodology manual (1.2.1; by Qtr2 YR2)</p> <p>Coordination meetings for Statistics Agency and Priority Sector agencies, 5 meetings 25 participants each (1.2.2; by Qtr3 YR3)</p> <p>Statistical analysis and interpretive products (1.2.3; throughout life of project)</p> <p>Quarterly bulletins (1.2.4; throughout life of project)</p> <p>Quarterly workshops for sensitization and awareness raising on CCA statistics; 25 persons each 6 workshops (1.2.5; by Qtr4 YR3)</p>

<p>1.3 Climate Change Center knowledge management capabilities strengthened</p>	<p>Climate Change Center has limited capacity and underdeveloped procedures to serve as knowledge management institution for climate change adaptation and planning in Tajikistan</p>	<p>Existence of operational standards/procedures/planning tools developed to advance CC data collection and management</p> <p>Number of people capacitated on CCA planning and management</p>	<p>Climate Change Center collects, manages and disseminates relevant climate change data and information to stakeholders in Tajikistan for policy, project development, and implementation tasks.</p>	<p>Develop Standards and procedures for climate change data and information</p> <p>Establish climate change adaptation research program.</p> <p>Establish Capacity development program at CCC.</p> <p>Develop Planning tools for climate change adaptation.</p> <p>Establish CCC helpdesk and technical outreach program.</p> <p>Deliverable/s:</p> <p>Data and information procedures manual (1.3.1; by Qtr4 YR1)</p> <p>Quarterly 1-day coordination workshops with CCC and research/academic institutions 10 workshops (1.3.2; by Qtr4 YR3)</p> <p>Capacity Development strategy (1.3.3; by Qtr4 YR1)</p> <p>Quarterly 2-day capacity building workshops for CCC 10 workshops (1.3.3; Qtr4 YR1)</p> <p>Planning tools (1.3.4; throughout life of project)</p> <p>Help desk and technical outreach program guidelines (1.3.1; by Qtr4 YR2)</p> <p>Semi-annual 1-day technical outreach workshops x 4 (1 for each of 4 priority sectors), 25 participants each 16 workshops (1.3.5; by Q4 YR3)</p>
<p>2. Priority sector adaptation plans developed, capacities strengthened and a Long-Term Capacity Development Program Established</p>				
<p>2.1 Priority sectors mainstream climate change adaptation</p>	<p>Climate change adaptation considerations currently NOT integrated or mainstreamed into priority sector governance, planning, and budgeting activities.</p>	<p>Number of sectoral plans that incorporate CCA, developed/or updated and approved</p>	<p>Priority sector agencies integrate climate change adaptation consideration into policy, institutional, and legal systems.</p>	<p>Appoint sector focal points and task forces</p> <p>Conduct institutional, budgetary, and legal review</p> <p>Develop secondary legislation strategy</p> <p>Revise strategic planning procedures to incorporate climate change adaptation</p> <p>Review and revise job descriptions and formulate professional development plans</p> <p>Design and implement sectoral outreach strategy</p> <p>Deliverable/s:</p> <p>1-day workshop for 50 people, to launch the sectoral CCA capacity building and NAP processes (2.1.1; by Qtr1 YR2)</p> <p>Priority sector institutional reviews (x4) (2.1.2; by Qtr2 YR2)</p> <p>1-day workshops (x2); 1 for inception and 1 to discuss findings of sectoral review processes, 25 persons each (2.1.2; by Qtr1 YR2)</p> <p>Priority sector regulatory strategies (x4) (2.1.3; by Qtr4 YR2)</p> <p>1-day workshops (x2); 1 for inception and 1 to discuss findings of regulatory</p>

				<p>reviews for priority sectors, 25 persons each (2.1.3; by Qtr1 YR2) 1-day technical working group workshops (x12) for updating regulatory frameworks in the priority sectors, 25 persons each (2.1.3; by Qtr3 YR2) 1-day workshops (x2); 1 for inception and 1 to discuss findings of sectoral strategic planning processes, 25 persons each (2.1.3; by Qtr3 YR2) Priority sector outreach materials (2.1.6; throughout YR3)</p>
<p>2.2 Priority sector vulnerabilities and adaptation options identified</p>	<p>Priority sector agencies lack procedures and capacities for conducting vulnerability assessments or for prioritizing adaptation measures.</p>	<p>Procedures in place among sector agencies to conduct iterative vulnerability assessments</p> <p>Number of people trained to conduct VAs, generate and prioritize adaptation actions</p>	<p>Procedures for iterative vulnerability assessments established for priority sector agencies and staff trained to conduct VAs, generate and prioritize adaptation actions and concept notes.</p>	<p>Conduct baseline analysis in priority sectors Priority sector agencies develop future scenarios Priority sectors assess vulnerabilities Sector agencies generate and prioritize adaptation options Sector agencies compile project pipeline</p> <p>Sector agencies compile and publish sector adaptation plans</p> <p>Deliverable/s: Priority sector baseline reports (x4), Sectoral stocktaking manual for priority sectors (x4), Pre/Post-sub-outcome assessment instrument (2.2.1; by Qtr2 YR2) Priority sector vulnerability assessments, Sectoral prioritization procedures manual for priority sectors (x4) (2.2.3; by Qtr4 YR2) 2-day workshops (x4, 1 for each priority sector) to discussing priority adaptation options and vulnerability assessment results, 30 people each (2.2.3; by Qtr1 YR3) 2-day workshops (x8; 2 for each priority sector) to compile priority sector project pipelines, 20-30 people each, Handbook/manual for compiling sectoral project pipeline (x4) (2.2.4. by Qtr2 YR3) 1-day validation workshop (x4 1 for each of the priority sector agencies) to validate priority sector adaptation plans, Post-sub-outcome assessment analysis (2.2.5; by Qtr4 YR3) Priority sector adaptation plans (x4) (2.2.6; by Qtr4 YR3)</p>
<p>2.3 Priority sector agency capacities for climate change adaptation planning and implementation strengthened</p>	<p>No tertiary education program focusing on climate change exists in Tajikistan; no permanent capacity building</p>	<p>Tertiary education program on climate change is in place</p>	<p>Tertiary education program established at University of Central Asia to provide graduate</p>	<p>Training infrastructure established Basic training program on climate change developed and implemented Advanced training program on utilizing climate change data and information in sector planning developed and implemented Advanced training on assessing vulnerabilities developed and implemented Advanced training program on climate change adaptation project preparation and finance developed and implemented Climate change adaptation-DRR/DRM synergies identified and exploited</p>

	and/or professional development opportunities exist for climate change.		program, professional development, and capacity building on climate change issues on a permanent basis.	<p>Deliverable/s:</p> <p>1-day stakeholder consultation workshop (x2) to provide input for the design of the capacity building infrastructure at the university, 25 people (2.3.1; by Qtr1 YR2)</p> <p>MoU between CEP and UCA signed (2.3.1; by Qtr3 YR1)</p> <p>Formation of implementation team at UCA (2.3.1; by Qtr4 YR1)</p> <p>Formalized procedures for review and evaluation or course materials for UCA (2.3.1; by Qtr2 YR2)</p> <p>Eligibility guidelines and application procedures for professional development program (2.3.1; by Qtr4 YR3)</p> <p>Awareness raising materials (brochures and posters) for professional development program at UCA (2.3.1; by Qtr4 YR3)</p> <p>Capacity development short course curricula (x5) (2.3.2, by Qtr1 YR3)</p> <p>5-day trainings (x5) for capacity development curricula 50 people, (2.3.2; by Qtr1 YR2)</p> <p>Post-graduate climate change adaptation program (2.3.3; by Qtr4 YR3)</p> <p>E-learning modules (2.3.5 by Qtr4 YR3)</p>
<p>3. Support Implementation of National Adaptation Plan Process Outputs</p>				
<p>3.1 Establish and institutionalize financing mechanisms for NAP implementation</p>	<p>No finance coordination mechanisms exist; priority sectors lack the ability to estimate costs of climate impacts as well as costs of adaptation measures.</p>	<p>National climate change adaptation finance coordination mechanism is in place</p>	<p>National climate change adaptation finance coordination mechanism established</p> <p>Priority sector agencies able to estimate costs of climate change impacts and costs of adaptation measures.</p>	<p>Establish and convene NAP finance working committee</p> <p>Conduct financial building blocks assessment</p> <p>Support priority sector agencies in establishing enabling conditions for implementation</p> <p>Conduct national budgetary review to identify entry points for subnational implementation</p> <p>Estimate costs for sectoral adaptation priorities</p> <p>Develop NAP finance strategy and roadmap</p> <p>Deliverable/s:</p> <p>Quarterly 1-day workshops for NAP finance working committee meetings, 20 people each (3.1.1; by Qtr3 YR2)</p> <p>Sectoral financial building blocks assessment (x4) (3.1.3; by Qtr1 YR3)</p> <p>2-day national workshop for the priority sectors to discuss financing issues related to CC financing and entry points (3.1.3 by Qtr4 YR2)</p> <p>1-day workshops (x4 1 for each priority sector) to work on plans for establishing enabling conditions, 20 people each (3.1.4; by Qtr1 YR3)</p>

				<p>2-day, national workshop to review and validate findings from budgetary review (3.1.5; by Qtr1, YR3)</p> <p>Financing plan, roadmap, and sustainability strategy for project pipeline including at least 2 GCF concept notes (3.1.6; by Qtr4 YR3)</p> <p>1-day workshops (x6) to support piloting of the guidelines for identifying and assessing climate vulnerabilities, 20 people each (3.2.2; by Qtr4 YR3)</p>
<p>3.2 Subnational capacities for climate change adaptation mainstreaming, planning, and project implementation enhanced</p>	<p>Provincial, district and subdistrict administration officials, CEP staff, COLUGC staff, and Ministry of Agriculture staff have low understanding of climate change processes and guidance and no scale-appropriate guidance on mainstreaming.</p>	<p>Number of subnational/district officials trained on CCA mainstreaming, planning and implementation</p>	<p>Subnational officials at Provincial, district, and subdistrict level aware of and have access to climate change information as well as guidance for incorporating climate change into agency activities.</p>	<p>Develop knowledge products, awareness-raising materials, and relevant tools for subnational authorities</p> <p>Develop and pilot subnational guidelines for identifying and assessing climate-related risks</p> <p>Develop and pilot guidelines for incorporating climate change adaptation into subnational planning and budgeting</p> <p>Develop guidance tools for incorporating climate change adaptation into subnational disaster preparedness and response activities</p> <p>Deliverable/s: Knowledge products and awareness raising tools (3.2.1; by Qtr4 YR1) Subnational guidelines for climate change risks and vulnerabilities (3.3.3; by Qtr2 YR3)</p> <p>1-day workshops (x6) to support piloting of the guidelines for identifying and assessing climate vulnerabilities, 20 people each (3.2.2; by Qtr3 YR2) Climate change adaptation/DRR incorporation guidelines for subnational gov (3.2.4; by Qtr3/ YR3)</p>
<p>3.3 Private sector engaged in climate change adaptation activities at national and sectoral levels</p>	<p>Private sector unaware of climate change physical processes, impacts, and the need for adaptation or appropriate adaptation actions</p>	<p>Number of private sector stakeholders that benefited from awareness raising on physical CC processes, risks and opportunities.</p>	<p>Private sector stakeholders aware of climate change physical processes and associated risks to business and have access to relevant information</p>	<p>Establish private sector engagement mechanism</p> <p>Develop outreach products and tools to support private sector adaptation</p> <p>Develop and implement outreach program for local financial institutions and insurance companies</p> <p>Deliverable/s: Private sector baseline analysis (3.3.1; by Qtr2 YR2) 2-day national workshop to support the formulation of a private sector baseline and strategy, 50 people, (3.3.1; Qtr2 YR2) Private sector outreach mechanism established (3.3.2; by Qtr4 YR2) Quarterly 1-day (x8) roundtable meetings for the private sector outreach mechanism, 20 people each (3.3.2; by Qtr1 YR2) Private sector outreach products and tools (3.3.2; by Qtr4 YR3) Outreach Program guideline manual developed (3.3.3; by Qtr4 YR3)</p>

V. MONITORING AND EVALUATION (M&E) PLAN

The project results as outlined in the project results framework will be monitored and reported bi-annually and evaluated periodically during project implementation to ensure the project effectively achieves these results.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP and UNDP Evaluation Policy](#). The UNDP Country Office is responsible for ensuring full compliance with all UNDP project monitoring, quality assurance, risk management, and evaluation requirements. Additional M&E requirements will be undertaken in accordance with the [GCF initial approach to monitoring and evaluation policy and other relevant GCF policies](#).

In addition to these mandatory UNDP and GCF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report.

M&E oversight and monitoring responsibilities:

The Project Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project personnel maintain a high level of transparency, responsibility and accountability in M&E and in reporting of project results. The Project Manager will inform the Project Board, the UNDP Country Office and the UNDP Regional Technical Advisor of any delays or difficulties encountered during implementation to ensure that appropriate support and corrective measures can be adopted.

The Project Manager will develop annual work plans to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the Bi-Annual Project Report, and that the monitoring of risks occur on a regular basis.

Project Board: The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

Project Implementing Partner: The UNDP CO, as the Implementing Partner for the project, is responsible for providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The UNDP CO will strive to ensure project-level M&E is undertaken effectively and is aligned with national systems so that the data used by and generated by the project supports national systems.

UNDP Country Office: The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key M&E activities including the Annual

Project Report, the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality.

The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the [UNDP POPP](#). This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the Bi-Annual Project Report and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. Annual Project Report quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager.

The UNDP Country Office will support GCF staff (or their designate) during any missions undertaken in the country and support any ad-hoc checks or ex post evaluations that may be required by the GCF.

The UNDP Country Office will retain all project records for this project for up to seven years after project financial closure in order to support any ex-post reviews and evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GCF.

UNDP - Nature, Climate and Energy Unit (UNDP-NCE): Additional M&E and implementation oversight, quality assurance and troubleshooting support will be provided by the UNDP-NCE Regional Technical Advisor and the UNDP-NCE Directorate as needed.

Audit: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on DIM implemented projects.² Upon request, project audit reports (s) will be shared with the GCF (the donor).

Additional monitoring and reporting requirements:

Inception Workshop and Report: A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:

- i. Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
- ii. Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- iii. Review the results framework and finalize the indicators, means of verification and monitoring plan, including gender and minority disaggregated information;
- iv. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E;
- v. Identify how project M&E can support national monitoring of gender and minority information and SDG indicators as relevant;
- vi. Update and review responsibilities for monitoring the various project plans and strategies, including the risk log;
- vii. Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the audit; and
- viii. Plan and schedule Project Board meetings and finalize the first-year annual work plan.

The inception report will be cleared by the UNDP Country Office and the UNDP-NCE Regional Technical Adviser and approved by the Project Board.

GCF Bi-Annual Project Report (due no later than 60 days following respectively 30 June (in relation to the period of 1 January to 30 June) and 31 December (in relation to the period from 1 July to 31 December) for each year of project

²Guidance available at: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

implementation): The Project Manager, the UNDP Country Office, and the UNDP-NCE Regional Technical Advisor will provide objective input to the bi-annual project reports covering the 6 months in the calendar year for each year of project implementation. The Project Manager will ensure that the indicators included in the project results framework are monitored annually in advance so that progress can be included in the report.

The Bi-Annual Project Report will also be shared with the Project Board. The UNDP Country Office will coordinate the inputs of other stakeholders to the report as appropriate. The quality rating of the previous year's report will be used to inform the preparation of the subsequent report.

Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

Final Independent Evaluation Report: A final independent evaluation report will be completed by 16 May 2023. The final evaluation will take place upon completion of all major project outputs and activities. The final evaluation process will begin at least three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability.

The Project Manager will remain on contract until the final evaluation report and management response have been finalized. The terms of reference, the evaluation process and the final evaluation report will follow the standard templates and guidance prepared by the UNDP IEO available on the [UNDP Evaluation Resource Center](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Additional quality assurance support is available from the UNDP-NCE Directorate. The final evaluation report will be cleared by the UNDP Country Office and the UNDP-NCE Regional Technical Adviser and will be approved by the Project Board. The final evaluation report will be publicly available in English on the UNDP ERC.

The UNDP Country Office will include the planned project evaluations in the UNDP Country Office evaluation plan and will upload the evaluation reports in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC).

Final Report: The project's final Bi-Annual Project Report along with the final independent evaluation report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

Mandatory GCF M&E Requirements and M&E Budget:

GCF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ³ (US\$)	Time frame
		GCF grant	
Inception Workshop	UNDP Country Office	USD 9,000	1
Inception Report and baseline assessments	Project Manager	None	Q1/Y1
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	Annually
Risk management (including Atlas Risk logs)	Project Manager Country Office	None	Quarterly, annually
Monitoring of indicators in project results framework	Project Manager	USD 9,000	Annually
GCF Bi-Annual Project Report	Project Manager and UNDP Country Office and UNDP-NCE Unit	None	Bi-Annually as per FA
Audit of Project as per UNDP audit policies	UNDP Country Office	USD 6,000	As per UNDP Audit policies
Lessons learned, case studies, and knowledge generation	Project Manager	None	Annually
Project Board meetings	Project Board UNDP Country Office Project Manager	None	At minimum annually
Supervision missions	UNDP Country Office	None ⁴	Two per year
Oversight missions	UNDP-NCE Unit	None	Troubleshooting as needed
Final independent evaluation and management response	UNDP Country Office and Project team and UNDP-NCE Unit	USD 9,000	16 May 2023
Translation of evaluation reports into English	UNDP Country Office	None	As required. GCF will only accept reports in English.
TOTAL indicative COST Excluding project team staff time, and UNDP staff and travel expenses		<i>USD 33,000</i>	

³ Excluding project team staff time and UNDP staff time and travel expenses.

⁴ The costs of UNDP Country Office and UNDP-NCE Unit's participation and time are charged to the GCF Agency Fee.

VI. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The project will be implemented following UNDP’s Direct Implementation Modality (DIM), according to the Second Amended Readiness and Preparatory Support Grant Framework agreement between UNDP and the GCF.

The implementation of the readiness activities under this proposal will be in accordance with the Second Amended and Restated Framework Readiness and Preparatory Support Grant Agreement (“Framework Agreement”) between UNDP and the GCF, effective as of 17 August 2020.

Implementing Partner: The Implementing Partner for this project is UNDP. UNDP, through the CO, is therefore responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources. UNDP is responsible for:

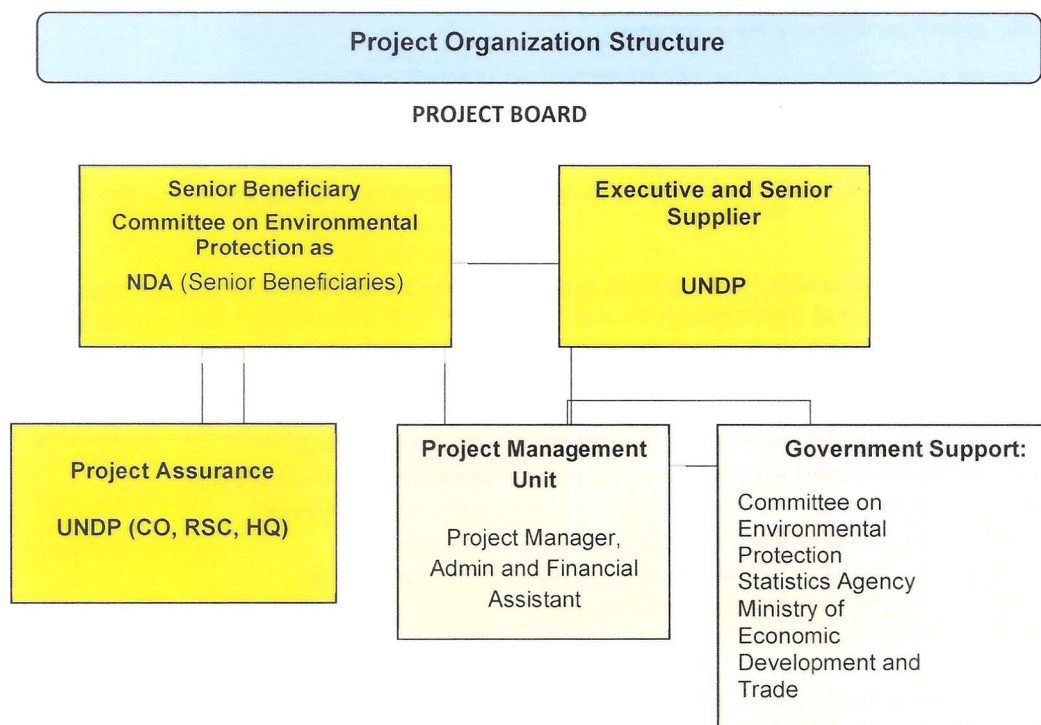
- Approving and signing the multiyear workplan;
- Approving and signing the combined delivery report at the end of the year;

Responsible Parties (referred to as Implementing Partners under the FWA): When identified in advance, list the roles and responsibilities of the Responsible Parties. If responsible parties have been identified by UNDP, include the legal instruments used by UNDP to engage a responsible party in Annex to this Project Document.

Note that a change of an Implementing Entity or, an adverse change in the legal status of an Implementing Entity involved in the implementation of the Approved R&P Support Proposal that materially and adversely affects the achievement of intended outcomes, will constitute a major change that will require prior approval from GCF.

A strict firewall will be maintained between project oversight costs and personnel and implementation of the project costs and personnel.

The management arrangements for this project are summarized in the chart below:



Project Board: The Project Board will provide overall guidance and quality assurance for the project, ensure adherence to the DIM guidelines and ensure compliance with GCF and UNDP policies and procedures. The Project Board is responsible for making, by consensus, management decisions when guidance is required by the Project Manager. Project Board decisions will be made in accordance with standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. This accountability only extends to the execution of approved activities and budget resources under the project (as approved by the NDA). The Project Board will meet at least once a year. Representatives of local governments and independent third parties, such as international or national NGOs, can attend the augmented Project Board meetings as observers.

In case consensus cannot be reached within the Board, the UNDP Resident Representative (or their designate) will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.

Specific responsibilities of the Project Board include:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the project manager;
- Provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks;
- Agree on project manager's tolerances as required;
- Review the project progress, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Appraise the annual project implementation report, including the quality assessment rating report; make recommendations for the workplan;
- Provide ad hoc direction and advice for exceptional situations when the project manager's tolerances are exceeded; and
- Assess and decide to proceed on project changes through appropriate revisions.

The **Project Board** will include representation by the Ministry of Environment (NDA) as the Senior Beneficiary along with UNDP as the Executive and Senior Supplier.

The composition of the Project Board must include the following roles:

Executive: The Executive is an individual who represents ownership of the project who will chair the Project Board. This role can be held by a representative from the Government Cooperating Agency or UNDP. The Executive is: *UNDP for this project*.

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

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

- Ensure that there is a coherent project organization structure and logical set of plans;
- Set tolerances in the AWP and other plans as required for the Project Manager;
- Monitor and control the progress of the project at a strategic level;
- Ensure that risks are being tracked and mitigated as effectively as possible;
- Brief relevant stakeholders about project progress;
- Organize and chair Project Board meetings.

Senior Supplier: The Senior Supplier is an individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the

technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role. The Senior Supplier is: *UNDP for the project.*

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

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

Senior Beneficiary: The Senior Beneficiary is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. The Senior Beneficiary role is held by a representative of the government or civil society. The Senior Beneficiary is: *Committee on Environmental Protection for the project.*

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness, the role should not be split between too many people.

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

- Prioritize and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Specification of the Beneficiary's needs is accurate, complete and unambiguous;
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
- Impact of potential changes is evaluated from the beneficiary point of view;
- Risks to the beneficiaries are frequently monitored.

A **Project Team** will be established and include the Project Manager, and Project Administrative and Finance Assistant. Two NAP Specialists, one for sectorial activities and the second for local development activities, will support the Project Manager in implementation of relevant thematic project activities. The project team will run the project on a day-to-day basis.

The Project Team will be recruited in accordance with UNDP's regulations to manage actual implementation of the project and will be based in Dushanbe. The Project Manager will be responsible for overall project coordination and implementation, consolidation of work plans and project papers, preparation of bi-annual (and/or quarterly, if required) progress reports, reporting to the project supervisory bodies, and supervising the work of the project experts and other project personnel.

In addition, the **Project Team** will be supported by UNDP's office in Tajikistan. Staff that will be involved with implementation will include the **Programme Manager for Disaster Risk Management**, and a **Programme Analyst for Disaster Risk Management**. These staff members will assist with administrative and coordination tasks related to the project as necessary. Please note that in UNDP's Tajikistan office, the Disaster Risk Management team's portfolio includes climate change adaptation.

Project Manager: The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

The Implementing Partner appoints the Project Manager, who should be different from the Implementing Partner's representative in the Project Board.

Specific responsibilities include:

- Provide direction and guidance to project team(s)/ responsible party (ies);
- Liaise with the Project Board to assure the overall direction and integrity of the project;
- Identify and obtain any support and advice required for the management, planning and control of the project;
- Responsible for project administration;
- Plan the activities of the project and monitor progress against the project results framework and the approved annual workplan;
- Mobilize personnel, goods and services, training and micro-capital grants to initiative activities, including drafting terms of reference and work specifications, and overseeing all contractors' work;
- Monitor events as determined in the project monitoring schedule plan/timetable, and update the plan as required;
- Manage requests for the provision of financial resources by UNDP;
- Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports;
- Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis;
- Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
- Capture lessons learned during project implementation;
- Prepare the annual workplan for the following year; and update the Atlas Project Management module if access is made available.
- Prepare the Bi-Annual Project Report and submit the final report to the Project Board;
- Based on the Bi-Annual Project Report and the Project Board review, prepare the AWP for the following year.
- Identify follow-on actions and submit them for consideration to the Project Board;
- Ensure the final evaluation process is undertaken as per the UNDP guidance, and submit the final evaluation report to the Project Board;

The Project Manager will also closely coordinate project activities with relevant government institutions and hold regular consultations with other project stakeholders and partners. Under the direct supervision of the Project Manager, the Administrative and Finance Assistant will be responsible for administrative and financial issues and will get support from the existing UNDP Operations division in Tajikistan. In addition, the **Project Team** will be supported by UNDP's office in Tajikistan. Staff that will be involved with implementation will include the **Programme Manager for Disaster Risk Management, and a Programme Analyst for Disaster Risk Management.** These staff members will assist with administrative and coordination tasks related to the project as necessary. Please note that in UNDP's Tajikistan office, the Disaster Risk Management team's portfolio includes climate change adaptation.

The Project Manager will also closely coordinate project activities with relevant government institutions and hold regular consultations with other project stakeholders and partners. Under the direct supervision of the Project Manager, the Administrative and Finance Assistant will be responsible for administrative and financial issues and will get support from the existing UNDP Operations division in Tajikistan.

Project Assurance: UNDP provides a three – tier supervision, oversight and quality assurance role – funded by the agency fee – involving UNDP staff in Country Offices and at regional and headquarters levels. Project Assurance must be totally independent of the Project Management function. The quality assurance role supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. This project oversight and quality assurance role is covered by the delivery partner fee provided by the GCF.

As a Delivery Partner to the GCF, UNDP delivers the following GCF-specific oversight and quality assurance services: (i) day to day project oversight supervision covering the start-up and implementation; (ii) oversight of project completion; and (iii) oversight of project reporting. A detailed list of the services is presented in the table below.

Function	Detailed description of activity	Typical GCF fee breakdown
Day-to-day oversight supervision	<p>1. Project start-up:</p> <ul style="list-style-type: none"> • In the case of readiness proposals, if needed assist the NDA and/or government partners prepare all the necessary documentation for approval of a readiness grant proposal • Prepare the Project Document with the government counterparts • Technical and financial clearance for the Project Document • Organize Local Project Appraisal Committee • Project document signature • Ensure quick project start and first disbursement • Hire project management unit staff • Coordinate/prepare the project inception workshop • Oversee finalization of the project inception workshop report <p>2. Project implementation:</p> <ul style="list-style-type: none"> • <u>Project Board</u>: Coordinate/prepare/attend annual Project Board Meetings • <u>Annual work plans</u>: Quality assurance of annual work plans prepared by the project team; issue UNDP annual work plan; strict monitoring of the implementation of the work plan and the project timetable according to the approved readiness proposal • <u>Prepare GCF/UNDP bi-annual project report</u>: review input provided by Project Manager/team; provide specialized technical support and complete required sections • <u>Portfolio Report (readiness)</u>: Prepare and review a Portfolio Report of all readiness activities done by UNDP in line with Clause 9.02 of the FWA. • <u>Procurement plan</u>: Monitor the implementation of the project procurement plan • <u>Supervision missions</u>: Participate in and support in-country GCF visits/learning mission/site visits; conduct annual supervision/oversight site missions • <u>Risk management and troubleshooting</u>: Ensure that risks are properly managed, and that the risk log in Atlas (UNDP financial management system) is regularly updated; Troubleshooting project missions from the regional technical advisors or management and programme support unit staff as and when necessary (i.e. high risk, slow performing projects) • <u>Project budget</u>: Provide quality assurance of project budget and financial transactions according to UNDP and GCF policies • <u>Performance management of staff</u>: where UNDP supervises or co-supervises project staff • <u>Corporate level policy functions</u>: Overall fiduciary and financial policies, accountability and oversight; Treasury Functions including banking information and arrangements and cash management; Travel services, asset management, and procurement policies and support; Management and oversight of the audit exercise for all GCF projects; Information Systems and Technology provision, 	70%

Function	Detailed description of activity	Typical GCF fee breakdown
	maintenance and support; Legal advice and contracting/procurement support policy advice; Strategic Human Resources Management and related entitlement administration; Office of Audit and Investigations oversight/investigations into allegations of misconduct, corruption, wrongdoing and fraud; and social and environmental compliance unit and grievance mechanism.	
Oversight of project completion	<ul style="list-style-type: none"> • Initiate, coordinate, finalize the Project Completion Report, Final Independent Evaluation Report and management response • Quality assurance of final evaluation report and management response • Independent Evaluation Office assessment of final evaluation reports; evaluation guidance and standard setting • Quality assurance of final cumulative budget implementation and reporting to the GCF • Return of any un-spent GCF resources to the GCF 	10%
Oversight of project reporting	<ul style="list-style-type: none"> • Technical review of project reports: quality assurance and technical inputs in relevant project reports • Quality assurance of the GCF bi-annual project interim progress reports and portfolio reports • Preparation and certification of UNDP annual financial statements and donor reports • Prepare and submit fund specific financial reports 	20%
	TOTAL	100%

Project Support from the Government will be provided by the Ministry of Environment, where required. This is considered as in-kind contribution to the project implementation to be provided by the Government. Additional agencies, such as Ministry of Transport and Infrastructure, Ministry of Economic Development, Tourism, Trade and Entrepreneurship, Ministry of Agriculture, Rural Development and Water Administration, national banks, central and regional municipal authorities will contribute personnel/staff and expertise, when required, and will participate in relevant expert, seminars, workshops or management meetings and/or providing meeting venues. The project will also benefit from the wide experience of the UNDP, particularly in Eastern Europe, the Caucasus and Central Asia countries, and from NAP-GSP with its pools of experts (such as Climate Information and Science Experts, Climate Change/Environment Economists, Public Finance Specialists, Private Sector Experts, Climate Policy Specialists, etc.) that will provide technical assistance when requested.

Local stakeholders and community members have a key role in the implementation and monitoring of the project. During the inception phase of the project, the NDA, working together with UNDP, will consult with all stakeholders, including vulnerable community members, NGOs, Community Based Organization, civil society, women organizations, etc., to facilitate an understanding of the roles, functions, and responsibilities within the Project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The project Logic Framework (indicators, means of verification, assumptions) will be reviewed and the annual plans will be refined engaging the local communities as much as possible. The stakeholders will also be engaged during the mid-term and final evaluations to assess the progress of the project and enable adaptive project management in response to the needs and priorities of the communities.

The project will be implemented through broad-based participation in the coordination mechanism and with

extensive consultations at the national and local levels to avoid any social issues. A stakeholder engagement plan will be developed during the first year of project implementation. Moreover, the project will build the capacities of decision-makers at different administrative levels to measure and evaluate the exposure of communities to climate-related risks and hazards for the integration of these risks into planning and budgeting.

The project does not include the construction of any infrastructure and will focus on soft interventions, including capacity building activities, sensitization interventions and policy development support, with minimal to no negative impact on the environment. These activities are expected to strengthen the understanding of the challenges and impacts climate change will have on the economy and the development of the country and therefore, incentivize the identification and development of adaptation initiatives, including projects, programs, policies and strategies. The need for extensive consultations and thorough studies and assessments will be highlighted and focused on avoiding any social and environmental negative impacts due to the inadequate and deficient selection of future adaptation interventions.

Gender inclusiveness is also at the center of the NAP process as it highlights the need for gender mainstreaming in climate change adaptation planning and budgeting and recognizes that adaptation cannot be successful without the involvement of all Tajiks, and women in particular. A focus on gender will be an integral part of the communication/engagement plan. During the implementation process, gender concerns will be brought to the forefront by: (a) ensuring that relevant gender information, especially socio-economic information, is identified and collected; (b) the sensitization of official beneficiaries on the crucial role women are playing in the society and in the adaptation process and how essential it is to involve them in every aspect of this process; (c) the engagement of women decision-makers in the trainings, meetings, workshops, etc.; (d) mainstreaming gender sensitivity in project approaches by ensuring women participate in a meaningful way during climate change impact inventories and the identification of adaptation options, including at the local level; and (e) the prioritization, evaluation and selection of gender-sensitive initiatives and incorporating gender analysis into the project concepts that will inform the project pipeline for further implementation.

The project will also develop training tools and undertake training on integrating gender through the use of gender disaggregated data and gender analysis tools in program formulation and monitoring, with the aim of enhancing the capacity of government official for planning, budgeting and implementation of adaptation with a gender sensitive approach.

This project will be directly aligned with the gender policy of the GCF that identifies six priority areas to implement its policy, namely: (a) Governance and institutional structure; (b) Operational guidelines; (c) Capacity building; (d) Outputs, outcomes, impacts and paradigm-shift objectives used for monitoring, reporting and evaluation; (e) Resource allocation and budgeting; and (f) Knowledge generation and communications. The project will address all six priorities through a range of adaptation topics, and place emphasis on addressing gender inequality along its implementation and operationalization.

To avoid any possible conflicts of interest deriving from the Delivery Partner's role as an Accredited Entity, the prioritization of investments and projects in the context of this readiness grant, will be made through a broad consultation process with relevant stakeholders, including other potential implementing entities for Tajikistan. The final validation of these priorities will be carried out through the countries' own relevant coordination mechanism and institutional arrangements, with the participation of other government agencies, as well as representatives from civil society and private sector as the NDA deems relevant, to ensure chosen priorities are fully aligned with national plans and strategies and adequately includes inputs from consulted stakeholder.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information:

To accord proper acknowledgement to the GCF for providing grant funding, the GCF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GCF will also accord proper

acknowledgement to the GCF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy⁵ and the relevant GCF policy. See also [GCF Branding Guidelines](#).

Disclosure of information: Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy⁶ and the GCF Disclosure Policy⁷.

⁵ See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

⁶ See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

⁷ See https://www.greenclimate.fund/documents/20182/184476/GCF_B.12_24_-_Comprehensive_Information_Disclosure_Policy_of_the_Fund.pdf/f551e954-baa9-4e0d-bec7-352194b49bcb

VII. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is *USD 2,746,016.16 without the fee*. This is financed through a GCF grant. UNDP, as the GCF Delivery Partner, is responsible for the oversight and quality assurance of the execution of GCF resources.

GCF Disbursement schedule: : GCF grant funds will be disbursed in accordance with the terms and conditions set out in the Second Amended and Restated Framework Readiness and Preparatory Support Grant Agreement The Country Office will submit an annual work plan to the UNDP-NCE Unit and comply with the GCF milestones in order for the next tranche of project funds to be released. All efforts must be made to achieve 80% delivery annually.

Disbursement requests will be managed at portfolio level by UNDP-NCE MPSU in NY, as agreed in the Second Amended and Restated Framework Readiness and Preparatory Support Grant Agreement” between GCF and UNDP. Under Clause 4 of said Second Amended and Restated Framework Readiness and Preparatory Support Grant Agreement, the Delivery Partner shall be required, when submitting Requests for Disbursement, to provide confirmation or evidence that at least 70% of the aggregate amounts previously disbursed by GCF have been committed and/or expended for Eligible Expenditures.

An Indicative Disbursement Schedule is provided below for reference.

Month/ Year	Year 1 (August 2020- January 2021)	Year 1 (January - August 2021)	Year 2 (August 2021-January 2022)	Year 2 (January - August 2022)	Year 3 (August 2022-January 2023)	Year 3 (January -August 2023)
Amount in USD	419,520.62	79,490.98	562,264.07	562,264.07	561,238.21	561,238. 21
Total Project Outcomes in USD	2,746,016.16					
DP Fee in USD	233,411.38					
Total Project Budget in USD	2,979,428.00					

UNDP Support Service Costs: UNDP will provide technical and operational support services, according to UNDP policies on GCF funded projects. UNDP Support Services are over and above the project cycle management services, and its costs are those incurred by UNDP for the provision of services that are execution driven and can be traced in full to the delivery of project outcomes and activities. Eligible Support Services costs should not be charged as a flat percentage.

As is determined by GCF requirements, operational support service costs are assigned as Project Management Cost and identified in the project budget as UNDP Support Services. They should be calculated on the basis of estimated actual or transaction-based costs and should be charged to the Direct Project Costs account codes: “64397 – ‘Services to projects - CO staff’”.

Technical support services are reflected in the project budget at the output/activity level and should be charged to the budgetary Account codes: “61100-Salary Costs – NP Staff” and “61300-Salary & Post Adj Cst-IP Staff”.

UNDP Support Services costs charges shall not exceed the capped amount approved by the GCF. Any additional UNDP Support Service costs after GCF approval of the proposal needs to be submitted to the GCF Secretariat for re-approval.

Budget Revision and Tolerance: 20% of the total overall projected costs can be reallocated among outcomes. No changes are allowed in the PMC. Any budget reallocation involving a major change in the project's scope, structure, design or objectives or any other change that substantially alters the purpose or benefit of the project requires the GCF's prior written consent.

As outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board (within the GCF requirements noted above). Should such deviation occur, the Project Manager and UNDP Country office will seek the approval of the UNDP-NCE Unit.

Any over expenditure incurred beyond the available GCF grant amount will be absorbed by the Country Office using non-GCF resources (e.g. UNDP TRAC or cash co-financing).

Refund to GCF: Unspent GCF resources must be returned to the GCF. Should a refund of unspent funds to the GCF be necessary, this will be managed directly by the UNDP-NCE Unit in New York.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.⁸ On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-Global Environmental Finance Executive Coordinator.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Final Independent Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The UNDP CO through a Project Board decision will notify the UNDP NCE Unit when operational closure has been completed.

Transfer or disposal of assets: In consultation with the other parties of the project, UNDP programme manager (UNDP Resident Representative) is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file⁹.

Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) UNDP CO has closed the accounts for the project; d) UNDP CO has certified a final Combined Delivery Report (which serves as final budget revision).

The project is required to be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the UNDP CO will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-NCE Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

⁸ see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>

⁹ See

https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default.

VIII. TOTAL BUDGET AND WORK PLAN

Atlas Proposal or Award ID:	00104152
Atlas Primary Output or Project ID:	00105852
Atlas Proposal or Award Title	Enabling an Effective National Adaptation Plan (NAP) Process for Tajikistan
Atlas Business Unit	TJK 10
UNDP GEF PIMS NO	6116
Implementing Partner	UNDP

GCF Readiness outcome/Atlas Activity	Responsible Party	Fund ID	Donor Code/Name	ATLAS Account Code	Budget Description	Amount US\$ (Year 1)	Amount US\$ (Year 2)	Amount US\$ (Year 3)	Total Amount US\$	See budget note
Outcome 1: Governance, Coordination, and Institutional Arrangements for climate change adaptation Planning and Implementation Strengthened	UNDP	66001	12526/GCF	71400	Contractual Services: Individuals	83,000.00	83,000.00	83,000.00	249,000.00	1
				60000	Staff costs	5,548.93	5,548.93	5,548.93	16,646.78	28
				71600	Travel	11,250.00	9,000.00	9,000.00	29,250.00	2
				71300	National Consultants	66,500.00	64,500.00	39,500.00	170,500.00	3
				72100	Contractual Services: Companies	35,000.00	35,000.00	35,000.00	105,000.00	4
				71200	International Consultants	81,000.00	60,000.00	45,000.00	186,000.00	5
				74500	Miscellaneous	15,739.95	15,652.45	13,902.45	45,294.84	6
				74200	Audio-Visual and Printing	3,000.00	6,000.00	8,000.00	17,000.00	7
				75700	Training, Workshop, Conference	32,000.00	52,500.00	55,500.00	140,000.00	8
				Total: Outcome 1					333,038.87	331,201.37
Outcome 2: Priority sector adaptation	UNDP	66001	12526/GCF	71400	Contractual Services:	92,000.00	92,000.00	115,000.00	299,000.00	9
				60000	Staff costs	5,548.93	5,548.93	5,548.93	16,646.78	28
				71600	Travel	0.00	9,000.00	13,500.00	22,500.00	10

plans developed, capacities strengthened and a Long-Term Capacity Development Program Established						71300	National Consultants	0.00	4,000.00	4,000.00	8,000.00	11
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						72100	Contractual Services: Companies	0.00	240,000.00	230,000.00	470,000.00	12
						71200	International Consultants	0.00	78,000.00	108,000.00	186,000.00	13
						74500	Miscellaneous	4,877.45	27,502.45	26,152.45	58,532.34	14
						75700	Training, Workshop, Conference	0.00	121,500.00	47,000.00	168,500.00	15
Total: Outcome 2								102,426.37	577,551.37	549,201.37	1,229,179.11	
Outcome 3: Implementation capacities for climate change adaptation established/strengthened	UNDP	66001	12526/GCF			71400	Contractual Services: Individuals	0.00	23,000.00	23,000.00	46,000.00	16
						60000	Staff costs	4,548.93	4,548.93	4,548.93	13,646.78	28
						71600	Travel	0.00	11,250.00	6,296.00	17,546.00	17
						71300	National Consultants	0.00	8,000.00	25,000.00	33,000.00	18
						72100	Contractual Services: Companies	0.00	10,000.00	70,000.00	80,000.00	19
						71200	International Consultants	0.00	75,000.00	33,000.00	108,000.00	20
						74500	Miscellaneous	227.45	7,289.95	10,292.25	17,809.64	21
						74200	Audio-Visual and Printing	0.00	0.00	2,000.00	2,000.00	22
						75700	Training, Workshop, Conference	0.00	14,000.00	42,000.00	56,000.00	23
Total: Outcome 3								4,776.37	153,088.87	216,137.17	374,002.41	
TOTAL OPERATIONAL COSTS (Outcomes 1+2+3)								440,241.61	1,061,841.61	1,059,789.91	2,561,873.14	
Project Management Costs	UNDP	66001	12526/GCF			73100	Rental & Maintenance -	2,400.00	2,400.00	2,400.00	7,200.00	24
						72800	Information Technology	4,000.00	0.00	0.00	4,000.00	25
						74100	Professional Services	5,000.00	5,000.00	5,000.00	15,000.00	26
						71400	Contractual Services - Individuals	41,100.00	41,100.00	41,100.00	123,300.00	27
						64397	Services to Projects	6,270.00	14,186.51	14,186.51	34,643.02	29
Total: Project Management Costs								58,770.00	62,686.51	62,686.51	184,143.02	
TOTAL PROJECTS COSTS								499,011.61	1,124,528.12	1,122,476.42	2,746,016.16	

	Budget Note #
1	<p>Service Contracts (SC) Individuals.</p> <p>SC1: Full time expert level administrator with expertise in CCA to support CEP in NAP related tasks, 3-years US\$23,000/yr (Total = US\$69,000)</p> <p>SC2: Full time project assistant to support CEP, 3-years US\$23,000/yr (Total = US\$69,000)</p> <p>SC11: Half time programme manager. Manager is responsible for protection and consultation of the programme in front of state agencies for increasing capacity of the programme and project cycle, in addition to providing substantive technical input towards programme's implementation US\$14,000 per year (Total = US\$42,000).</p> <p>SC4: Full time project officer to coordinate activities at CCC, 3-years US\$23,000/yr (Total = US\$69,000).</p> <p>Travel costs are calculated on the basis of US\$1,300 of estimated tickets cost for roundtrip to Tajikistan and DSA to Dushanbe of US\$190 based on the established UNDP rates.</p> <p>International Consultant 1 (IC1): International Trips =1, DSA =5,</p> <p>IC2: International Trips =1, DSA =5</p> <p>IC3: International Trips =1, DSA =5</p> <p>IC4: International Trips =1, DSA =5</p> <p>IC5: International Trips =1, DSA =5</p> <p>IC6: International Trips =2, DSA =10</p> <p>IC7: International Trips =1, DSA =5</p> <p>IC8: International Trips =2, DSA =10</p> <p>IC9: International Trips =1, DSA =5</p> <p>IC10: International Trips =1, DSA =5</p> <p>IC11: International Trips =1, DSA =5</p> <p>TOTAL: International Trips =13, In-Country Trips =0, DSA =65.</p>
2	
3	<p>National Consultants (NC) are hired at an average estimated rate of US\$100/day unless otherwise specified.</p> <p>NC1: M&E specialist to guide process and develop manual for 1.1.3. 40 days year 1, 20 days each in year 2 & 3, Total = 80 days (Total = US\$8,000)</p> <p>NC2: National consultant to facilitate and compile guidelines and develop knowledge products for inclusion and gender procedures for 1.1.4, Total = 30 days (US\$3,000)</p> <p>NC3: Policy specialist to assist with review of national planning processes and documents for 1.1.5. Total = 40 days (US\$4,000)</p> <p>NC4, NC5, NC6, NC7, NC8, NC9, NC10, NC11, NC12, NC13: expert national consultants to form policy working group for DRR and CCA coordination for 1.1.6, 10 days each in year 1 and Year2&3 20 days in each year @ US\$200/day, Total = 500 days (Total = US\$100,000)</p>

	<p>NC14: National consultant to coordinate data collection and outreach/ad-hoc capacity building with priority sector agencies for 1.2.2. 60 days per year, Total 120 days. (Total = US\$12,000)</p> <p>NC15: Capacity building and facilitation to support sensitization and awareness raising for Statistics Agency in 1.2.5. 30 days year 2, 60 days year 3, Total = 90 days (Total = US\$9,000)</p> <p>NC16: Conducts media outreach for 1.2.5. 20 days year 2, 40 days year 3, total = 60 days (Total = US\$6,000)</p> <p>NC17: Supports IC in conducting review of climate data for 1.3.1. Total = 60 days (US\$6,000)</p> <p>NC18: Support coordination efforts and development of research program for CCC for 1.3.2. 50 days in years 1,2&3 Total = 150 days (Total = US\$15,000)</p> <p>NC19: Coordinates and evaluates capacity development efforts at CCC for 1.3.3. 25 days in years 1,2.&3, Total = 75 days (Total = US\$7,500).</p>
4	<p>Contractual services (CS). CS1: Contract with external NGO or academic institution to develop awareness raising campaign for 1.1.7. US\$35,000 each year (Project Total = US\$105,000).</p>
5	<p>International consultants (IC) Level-1 rate US\$600/day.</p> <p>IC1: Conduct institutional review with CEP (1.1.1). 15 days (US\$9,000)</p> <p>IC2: Supports development of the M&E framework in 1.1.3. 15 days in first year 10 days in year 2, 10 days in year 3 (US\$21,000)</p> <p>IC3: Gender specialist to support inclusiveness planning in 1.1.4. 15 days. (US\$9,000)</p> <p>IC4: Inclusiveness specialist to support planning in 1.1.4. 15 days (US\$9,000)</p> <p>IC5: Policy specialist to assist with national policy review in 1.1.5. 15 days. (US\$9,000)</p> <p>IC6: DRR/CCA integration expert to assist with DRR/CCA coordination in 1.1.6. 15 days/year, 45 days total. (US\$27,000)</p> <p>IC7: CCA M&E expert to support Statistics Agency in design M&E indicators and methodology in 1.2.1. 20 days (US\$12,000)</p> <p>IC8: to assist and advise Statistics Agency in developing CC statistical analysis products in 1.2.3. 25 days in year 2, 35 days in year 3. 60 days total (US\$36,000)</p> <p>IC9: Data specialist to conduct review and develop standards in coordination with CCC in 1.3.1. 25 days (US\$15,000)</p> <p>IC10: Advise and support CCC in setting up research program year 1 for 1.3.2. 15 days (US\$9,000)</p> <p>IC11: Conducts review of CCC institutional and technical capabilities for 1.3.3 in year 1 and develops recommendations, 20 days (US\$12,000)</p> <p>IC12: Provide advice and support remotely on demand to CCC in addressing sectoral needs for 1.3.4. 15 days year 2, 15 days year 3, 30 days total (US\$18,000).</p>
6	<p>The contingency budget must be used for any unforeseen programme cost, such as FX gain and loss, courier service etc., which is unrelated to implementation/service fee. Any use of contingency must be reported to and agreed by the GCF Secretariat in writing (email is sufficient) in advance with sufficient justifications</p>
7	<p>AVP1: Publishing costs for M&E manual developed in 1.1.3 in year 1 (Total = US\$1,000),</p> <p>AVP2: Publication of guidelines and knowledge products for gender and inclusiveness framework in 1.1.4 for national dissemination, 5,000 copies. (Total = US\$2,000), AVP3: Publishing costs for manual for M&E procedures for 1.2.1 (Total = US\$2,000)</p> <p>AVP4: Publication of statistical analysis knowledge/information products for 1.2.3. US\$1,000 in year 2 and US\$2,000 in year 3 (Total = US\$3,000), AVP5: Publication of quarterly statistical bulletins starting in Y2Q3 and annual reports starting in Y3Q1 for 1.2.4. US\$2,000 in year 2 and US\$4,000 in year 3. (Total = US\$6,000)</p>

	<p>AVP6: Publishing and printing costs for sensitization and awareness raising materials on the use of CC statistics for media, schools, and other user groups for 1.2.5. US\$1,000 in Y2 and \$2,000 in year 3 (Total = US\$3,000).</p> <p>Training, Workshop, Conference (TWC) are calculated on the following basis: 1-Day Local conference (no travel) for 30 pax @US\$1500, 2-Day Local conference/workshop (no travel) for 30 pax @US\$3000, 1-Day National workshop or conference including travel for up to 30 pax @US\$2500, 2-Day National workshop or conference including travel for up to 30 pax @US\$5,000.</p> <p>TWC1: National 2-day workshop 30 participants for 1.1.1 (US\$5,000)</p> <p>TWC2: Quarterly working group meetings for coordination platform working group for 1.1.2, 25 participants beginning in Y1Q3 (10 meetings to- tal) (US\$15000)</p> <p>TWC3: Annual workshops for monitoring and evaluation for 1.1.3, 1 day 25 participants (3 workshops total) (US\$4500)</p> <p>TWC4: Semiannual workshops of inclusiveness and gender working group (1.1.4) starting in Y1Q2 for a total of 6 meetings over the life of the project. 20 participant each, 1-day meetings (US\$9,000)</p> <p>TWC5: Stakeholder inclusiveness workshop for 1.1.4, 2 days 30 participants (US\$3,000)</p> <p>TWC6: 5 x 1-day Semi-annual coordination workshops for DRR/CCA coordination group for 1.1.5, 25 participants, 1 day each (US\$7,500)</p> <p>TWC7: 10 x 2-day Quarterly workshops to support DRR/CCA policy working group in 1.1.5. (US\$30,000)</p> <p>TWC8: Semi-annual coordination workshops to support coordination between Statistics Agency and priority sector agencies in 1.2.2, 1 day, 25 participants each (US\$6,000)</p> <p>TWC9: Quarterly 1-day workshops starting in Y2Q3 for sensitization and awareness raising for the use of CCA statistics for 1.2.5, 25 persons each 6 work-shops total (US\$9,000)</p> <p>TWC10: Quarterly 1-day coordination workshops with CCC and research/academic institutions beginning in Y1Q3 for 1.3.2, 10 workshops total. (US\$15,000)</p> <p>TWC11: Quarterly 2-day capacity building workshops for CCC for 1.3.3 beginning in y1/q3 (Total = US\$30,000)</p> <p>TWC12: Semi-annual 1-day technical outreach workshops to support 1.3.5, x4 (for each of 4 priority sectors), 25 participants each (US\$6,000).</p>
8	<p>Service Contracts (SC) Individuals, SC5, SC6, SC7, SC8: Four full time service contract hires to support and coordinate CCA and NAP project related activities for sub-outcomes 2.1 and 2.2 in each of the 4 priority sectors, 3-years US\$23,000 per person per year (Total = US\$276,000)</p> <p>SC9: Full time hire to support activity 2.3.5, 1-year, (Total = US\$23,000).</p>
9	<p>Travel costs are calculated on the basis of US\$1,300 of estimated tickets cost for roundtrip to Tajikistan and DSA to Dushanbe of US\$190 based on the established UNDP rates.</p> <p>IC13: International Trips =1, DSA =5</p> <p>IC14: International Trips =1, DSA =5</p> <p>IC16: International Trips =1, DSA =5</p> <p>IC17: International Trips =1, DSA =5</p> <p>IC18: International Trips =1, DSA =5</p> <p>IC19: International Trips =1, DSA =5</p> <p>IC20: International Trips =1, DSA =5</p>
10	

	<p>IC21: International Trips =1, DSA =5 IC22: International Trips =1, DSA =5 IC23: International Trips =1, DSA =5 TOTAL: International Trips =10, In-Country Trips =0, DSA =50.</p> <p>National Consultants (NC) are hired at an average estimated rate of US\$100/day unless otherwise specified. NC20: Coordinates review of staff ToRs of priority sector agencies and assists in identifying needed competencies for 2.1.5. 40 days in each year 2 & 3, Total = 80 days (US\$8,000).</p> <p>Contractual services (CS). CS2, CS3, CS4, CS5: National consulting firm(s) hired to conduct research (e.g. focus groups, surveys, etc) to determine current level of knowledge in priority sectors. Consulting firm will also identify gaps in knowledge and develop appropriate information materials and outreach products targeted at communities of concern in each ministry. Activity 2.1.6. US\$50,000 each. (Total = US\$200,000). CS6, CS7, CS8, CS9: Possibly to be merged into fewer for national NGOs or academic institutions to support the VA process for each of the 4-priority sectors in 2.2.2. US\$50,000 each. (Total = US\$200,000). CS10: Professional editing services for all sector plans Total = US\$10,000 CS11: Quarterly Trainings at UCA US\$10,000, (Total = US\$50,000) CS12: Develop e-tools media, animations and aps to go into modules, US\$10,000.</p>
11	<p>International consultants (IC) Level-1 rate US\$600/day. IC13: International consultant conducts workshops to teach teams to develop regulatory reform strategy and provides on-demand remote support for 2.1.3. Total = 20 days. (US\$12,000) IC14: Conducts workshops to teach teams to identify entry points and provides on-demand remote support for 2.1.4. Total = 30 days. (US\$18,000). IC15: Provide on-demand technical support to priority sector agencies and the service contract employee. Total = 40 days (US\$24,000). IC16, IC17, IC18, IC19: One specialist for each priority sector, to provide technical support and advice in terms of identifying adaptation measures, 20 day contracts each support both Activities. 2.2.3 and 2.2.4, Total = 80 days (US\$48,000). IC20: Provide technical support for the setup of the capacity building infrastructure at UCA for 2.3.1. 20 Day contract (US\$12,000). IC21, IC22: Capacity development specialists to develop targeted 1-week short courses on 5 topics for 2.3.2. 25 days contract each in year 1, and 15 days each in year 2 (Total = 80 days; US\$48,000). IC23: Educational specialist to support UCA in developing an accredited post-graduate program consistent with international standards for 2.3.4. Total = 40 days (US\$24,000).</p>
12	<p>The contingency budget must be used for any unforeseen programme cost, such as FX gain and loss, courier service etc., which is unrelated to implementation/service fee. Any use of contingency must be reported to and agreed by the GCF Secretariat in writing (email is sufficient) in advance with sufficient justifications</p>
13	<p>Training, Workshop, Conferences (TWC). TWC13: National workshop for 50 people, one day, to launch the sectoral CCA capacity building and NAP processes for 2.1.1. (US\$2,500). TWC14: 2x 1-day workshops; 1 for inception and 1 to discuss findings of sectoral review processes for 2.1.2. 25 persons each (US\$3,000). TWC15: 2x 1 day workshops; 1 for inception and 1 to discuss findings of regulatory reviews for priority sectors for 2.1.3. (US\$3,000).</p>
14	
15	

	<p>TWC16: 12x 1 day technical working group workshops for updating regulatory frameworks in the priority sectors for 2.1.3. 25 persons each (US\$18,000). TWC17: 2x 1 day workshops; 1 for inception and 1 to discuss findings of sectoral strategic planning processes for 2.1.3. 25 persons each (US\$3,000). TWC18: 4 2-day workshops for 30 people each for discussing priority adaptation options and vulnerability assessment results for 2.2.3 (one for each priority sector) (US\$6,000). TWC19: 2 2-day workshops for each priority sector for 20-30 people each to compile priority sector project pipelines for 2.2.4. 8 workshops total (US\$24,000). TWC20: 1-day validation workshop for each of the priority sector agencies to validate priority sector adaptation plans in 2.2.5 (US\$6,000). TWC21: 2 1-day stakeholder consultation workshop for 25 People. provide input for the design of the capacity building infrastructure at the university for 2.3.1 (US\$3,000). TWC22: 5 5-day Trainings for 50 people starting in y2q1 for 2.3.2. US\$20,000 for each training (US\$100,000).</p>
16	<p>Service Contracts (SC) Individuals. SC10: Coordinate activities associated with sub-outcome 3.2 at the Ministry of Trade and Economic development Years 2&3, US\$23,000 per year (US\$46,000).</p>
17	<p>Travel costs are calculated on the basis of US\$1,300 of estimated tickets cost for roundtrip to Tajikistan and 95USD for local travel and DSA to Dushanbe of US\$190 based on the established UNDP rates. Local travel costs are calculated on the basis of US\$51 within Tajikistan based on the established UNDP rates. IC24: International Trips =2, DSA =10 IC25: International Trips =2, DSA =10, SC10: In-Country Trips =6, DSA =6 IC26: International Trips =1, DSA =5 IC27: International Trips =3, DSA =8 TOTAL: International Trips =8, In-Country Trips =6, DSA =36.</p>
18	<p>National Consultants (NC) are hired at an average estimated rate of US\$100/day unless otherwise specified. NC21, NC22, NC23, NC24 provide support for establishing enabling conditions for financing of CCA measures in the priority sectors, 50 days each Total = 200 days (US\$20,000). NC25: Budget specialist to support Ministry of Finance to support national budgetary review process for 3.1.5 Total = 50 days (US\$5,000). NC26: Provide support to CEP in establishing database for tracking subnational adaptation actions for 3.2.4. Total = 80 days (US\$8,000).</p>
19	<p>Contractual services (CS). CS13: contract with a local NGO or academic institution to develop awareness raising tools and knowledge products about CCA for subnational authorities for 3.2.1. (US\$25,000). CS14: Contract with University of Central Asia to create subnational mainstreaming guidelines for DRR and CCA for 3.2.3 (US\$25,000). CS15: With an academic or research institution to develop the products for private sector awareness raising for CCA in 3.3.3. Year 2 10,000, Year3, 20,000 (US\$30,000).</p>
20	<p>International consultants (IC) Level-1 rate US\$600/day. IC24: Climate finance expert to support the development of monitoring and oversight procedures. Will support activities 3.1.1, 3.1.2. & 3.1.4. Total = 50</p>

21	<p>days (US\$30,000). IC25: Will support activities 3.2.2 and 3.2.3, years 2&3 25-days in each year, Total = 50 days (US\$30,000). IC26: Climate Finance Specialist Total = 20 days (US\$12,000). IC27: Climate finance specialist to support the private sector engagement mechanism for 3.3.1. 30 days per year in years 2 and 3, Total = 60 days (US\$36,000).</p> <p>The contingency budget must be used for any unforeseen programme cost, such as FX gain and loss, courier service etc., which is unrelated to implementation/service fee. Any use of contingency must be reported to and agreed by the GCF Secretariat in writing (email is sufficient) in advance with sufficient justifications</p>
22	<p>AVP7: Publish the financing plan for 3.1.5 (US\$2,000).</p> <p>Training, workshops, and conferences.</p>
23	<p>TWC23: Quarterly 1-day workshops for 20 people for NAP finance working committee meetings for 3.1.1 (6 meetings total) (US\$9,000).</p> <p>TWC24: 2-day National Workshop for the priority sectors to discuss financing issues related to CC financing and entry points for 3.1.3 (US\$5,000).</p> <p>TWC25: 4-day workshops for 20 people to work on plans for establishing enabling conditions in each of the priority sectors for 3.1.4: (US\$6,000).</p> <p>TWC26: 2-Day, National workshop to review and validate findings from budgetary review for 3.1.5, (US\$5,000).</p> <p>TWC27: National 2-day workshop for 50 people to validate and ratify the financing plan for 3.1.6 (US\$5,000).</p> <p>TWC28: 6 1-day workshops for 20 people to support piloting of the guidelines for identifying and assessing climate vulnerabilities for 3.2.2 (US\$9,000).</p> <p>TWC29: National 2-day workshop to support the formulation of a private sector baseline and strategy for 3.3.1, 50 participants (US\$5,000).</p> <p>TWC30: 8x 1-day quarterly roundtable meetings for the private sector outreach mechanism in 3.2.2, 20 people each no travel (US\$12,000).</p>
24	<p>US\$200 per month for office space. (US\$7,200). Note this covers 33% of office space costs; the GoRT will cover the remaining 2/3.</p>
25	<p>Laptop and docking stations for each of the 2 Project management staff (US\$1,500 each) Total = US\$3,000, Printer x 2 Total = US\$1,000.</p>
26	<p>CS16: Audit costs US\$2,000 per year (Total = US\$6,000). This budget will be utilized only if the GCF project receives an external audit conducted by a third-party auditor, or otherwise reprogrammed towards the achievement of the approved activities, in consultation and agreement with the Project Board. CS17: Monitoring and evaluation conducted by a third-party US\$3,000 per year (Total = US\$9,000).</p>
27	<p>Service Contracts (SC) Individuals.</p> <p>SC3: Half time financial manager to support project, 3-years US\$11,500/yr (Total = US\$34,500)</p> <p>SC11: Half time Programme Manager - responsible for the day-to-day management and implementation of the Programme, including all programme and administrative matters. Manager is responsible for protection and consultation of the programme in front of state agencies for increasing capacity of the programme and project cycle, in addition to providing substantive technical input towards programme's implementation US\$14,000 per year (Total = US\$42,000).</p> <p>SC12: Administrative/Finance Assistant provides administrative/finance services ensuring high quality of work, ensures accurate, timely and properly recorded/documented service delivery, \$1,300 (monthly) x 12 = US\$15,600 per year (Total = US\$46,800).</p>

28	Staff costs for dedicated project support: 10% of time of the Team Leader (FTA, NOB) - \$4,647/year split across three outcomes. Regional NAP Advisor (International FTA, P4 level, cost share) @\$11,000/year split across 3 outcomes.
29	HR, procurement and financial services. These services will be charged based on UNDP's UPL.

To avoid potential for consultant fatigue, the proposal endeavors to consolidate some consulting tasks and workshops. However, to provide the clearest guidance to the implementation team as to the types of specific expertise that would be needed to execute the activities, some consultancies and workshops had to be disaggregated. The way the consultancies and workshops are structured now provides maximum flexibility to the implementation team to deal with shifting conditions with respect to the consultant skillsets that are available at the time of implementation. The implementation team will follow GCF guidelines and will inform the GCF if and when changes are made to consolidate consultancies and workshops, and any impacts on the project's budget will be reported to the GCF.

IX. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Tajikistan and UNDP, signed on 03 December 1993. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by UNDP (“Implementing Partner”) in accordance with its Financial Regulations and Rules, practices, procedures and financial governance to ensure best value for money, fairness, integrity, transparency, and effective international competition.

The designations employed and the presentation of material on this map do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations or UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

X. RISK MANAGEMENT

UNDP (DIM)

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]¹⁰ [UNDP funds received pursuant to the Project Document]¹¹ are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse (“SEA”) and sexual harassment (“SH”) allegations in accordance with its regulations, rules, policies and procedures.
6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
 - a. Consistent with the Article III of the SBAA [*or the Supplemental Provisions to the Project Document*], the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP’s property in

¹⁰ To be used where UNDP is the Implementing Partner

¹¹ To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

- i. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
- j. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
- k. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

XI. MANDATORY ANNEXES

Annex A: GCF approved Readiness and Preparatory Support Proposal

Annex B: GCF notification of approval letter

Annex C: Procurement plan

Annex D: Terms of References for Project Board and Project Team

Annex E: Terms of References for UNDP Staff (as needed)

Annex F: UNDP Risk Log

Annex G: UNDP Project Quality Assurance Report (to be completed in UNDP online corporate planning system, does not need to be attached as separate document)

Annex A: GCF approved Readiness and Preparatory Support Proposal

Provided separately, due to the file size.

A copy can be found in the Country Office and one in PIMS+ 6116

Annex B: GCF notification of approval letter



Mr. Sherahzoda Bahodur
Chairman
Committee of Environmental Protection
5/1 Shamsi str. Dushanbe city
Republic of Tajikistan

COUNTRY PROGRAMMING

Date . . . 27 May 2020
Reference . . . DCP/2020/161
Page . . . 1 of 1

Subject: Notification of Approval on Readiness and Preparatory Support Programme Proposal for the Green Climate Fund - [Grant Reference Number TJK-RS-002]

Dear Mr. Bahodur,

I am pleased to inform you that the Green Climate Fund (GCF) Secretariat has approved the Readiness Proposal for the Republic of Tajikistan, initially submitted on 24 August 2018, in accordance with the terms of the Framework Readiness and Preparatory Support Grant Agreement (Framework Agreement) between the Green Climate Fund and the United Nations Development Programme (UNDP), dated 2 September 2016, and amended and restated on 6 March 2018.

The above mentioned proposal was approved on 18 May 2020 for the amount of USD 2,979,428 for Enabling an Effective National Adaptation Plan Process for Tajikistan. A copy of the proposal is attached for your reference.

Kindly note that as of the date of this Notification the Framework Agreement between the GCF and UNDP is being amended, and that the implementation of the readiness activities under this approved proposal will be subject to the execution and effectiveness of the amended Framework Agreement. Accordingly, the start date for implementation of this grant shall be the date of effectiveness of the amended Framework Agreement. Once the amendment to the Framework Agreement becomes effective, UNDP can submit a request for disbursement to the Secretariat to begin the implementation of the activities under the approved proposal.

Please contact us if you have any other questions about your approved proposal or next steps.

Yours sincerely,

A handwritten signature in blue ink, appearing to read "Pa Ousman Jarju".

Mr. Pa Ousman Jarju
Director

Enclosure: Readiness Proposal of the Republic of Tajikistan

cc: Mr. Pradeep Kurukulasuriya, Executive Coordinator and Director, Global Environmental Finance, Bureau for Policy and Program Support, UNDP

Green Climate Fund
Sungdo International Business District
6, Domok 17, Aji Center, Jijang
Yongin-si, Gyeonggi-do 2094
Republic of Korea

Annex C: Procurement plan

PROCUREMENT OF GOODS, SERVICES, and WORKS			
METHOD	CONTRACT VALUE	TYPE OF REQUIREMENT	METHOD OF SOLICITATION
Micro-purchasing	Below US\$5000	Goods, services or simple works	Canvassing (by phone, internet shopping, etc)
Request for quotation/request for proposal	US\$5000 to 149999	Goods, services or simple works	Written request for quotation
Invitation to bid	US\$150000 and above	Goods or works	Advertisement in international media
Request for Proposal	US\$150000 and above	Services	Advertisement in international media
Direct Payment	Any amount within permissible circumstances	Services, goods, or works	Direct invitation or negotiation

Item	Item description	Estimated cost (in US \$)	Procurement Method	Threshold	Estimated start date	Projected contracting date
Goods and Non-Consulting						
Service Contracts - Individuals	A total of twelve, 3-year contracts for staff, including staff to support various project outcomes, the Project Manager and Administrative Specialist.	546,500.00	Competitive Bidding	> US\$10,000	Y1Q1	Y1Q1
Equipment and Furniture	Desks, chairs, shelving, other office materials.	8,850.00	Direct Procurement	< US\$10,000	Y1Q1	Y1Q1
Office Space	Rent for Office Space	7,200.00	Direct Procurement	< US\$10,000	Y1Q1	Y1Q1
Training / Workshops	Cost of Training depends on the number of days conducted and the number of participants.	364,500.00	Competitive Bidding	> US\$10,000	Y1Q1	Y1Q1
Audio Visual Printing	AV/printing of workshop/awareness raising materials, reports, etc.	19,000.00	Direct Procurement	< US\$10,000	Y1Q1	Y1Q1
Sub-Total (US\$)				\$	946,050.00	
Consultancy Services						
Consulting Services - Companies/Firm	A total of Seventeen Contracts to companies and firms to execute project activities including annual audit and	584,500.00	Open tender	> US\$10,000	Y1Q1	Y1Q1
Consultant - Individual (NC1)	M&E Specialist	8,000.00	Open tender	> US\$10,000	Y1Q4	Y1Q4
Consultant - Individual (NC2)	Gender Specialist	3,000.00	Open tender	> US\$10,000	Y1Q2	Y1Q2
Consultant - Individual (NC4)	Policy Specialist	4,000.00	Open tender	> US\$10,000	Y2Q1	Y2Q1

Consultant - Individual (NC4)	Support Policy Working Group	10,000.00	Open tender	> US\$10,000	Y1Q3	Y1Q3
Consultant - Individual (NC5)	Support Policy Working Group	10,000.00	Open tender	> US\$10,000	Y1Q1	Y1Q1
Consultant - Individual (NC6)	Support Policy Working Group	10,000.00	Open tender	> US\$10,000	Y1Q1	Y1Q1
Consultant - Individual (NC7)	Support Policy Working Group	10,000.00	Open tender	> US\$10,000	Y1Q1	Y1Q1
Consultant - Individual (NC8)	Support Policy Working Group	10,000.00	Open tender	> US\$10,000	Y1Q1	Y1Q1
Consultant - Individual (NC9)	Support Policy Working Group	10,000.00	Open tender	> US\$10,000	Y1Q1	Y1Q1
Consultant - Individual (NC10)	Support Policy Working Group	10,000.00	Open tender	> US\$10,000	Y1Q1	Y1Q1
Consultant - Individual (NC11)	Support Policy Working Group	10,000.00	Open tender	> US\$10,000	Y1Q1	Y1Q1
Consultant - Individual (NC12)	Support Policy Working Group	10,000.00	Open tender	> US\$10,000	Y1Q1	Y1Q1
Consultant - Individual (NC13)	Support Policy Working Group	10,000.00	Open tender	> US\$10,000	Y1Q1	Y1Q1
Consultant - Individual (NC14)	Data Collection Coordinator	12,000.00	Open tender	> US\$10,000	Y2Q2	Y2Q2
Consultant - Individual (NC15)	Capacity Building Specialist	9,000.00	Open tender	> US\$10,000	Y2Q3	Y2Q3
Consultant - Individual (NC16)	Media Outreach Specialist	6,000.00	Open tender	> US\$10,000	Y2Q3	Y2Q3
Consultant - Individual (NC17)	Support Specialist	6,000.00	Open tender	> US\$10,000	Y1Q1	Y1Q1
Consultant - Individual (NC18)	Support Specialist	15,000.00	Open tender	> US\$10,000	Y1Q3	Y1Q3
Consultant - Individual (NC19)	Capacity Development Specialist	7,500.00	Open tender	> US\$10,000	Y1Q3	Y1Q3

Consultant - Individual (NC20)	Support Specialist	8,000.00	Open tender	> US\$10,000	Y2Q2	Y2Q2
Consultant - Individual (NC21)	Priority Sector Finance Specialist	5,000.00	Open tender	> US\$10,000	Y3Q1	Y3Q1
Consultant - Individual (NC22)	Priority Sector Finance Specialist	5,000.00	Open tender	> US\$10,000	Y3Q1	Y3Q1
Consultant - Individual (NC23)	Priority Sector Finance Specialist	5,000.00	Open tender	> US\$10,000	Y3Q1	Y3Q1
Consultant - Individual (NC24)	Priority Sector Finance Specialist	5,000.00	Open tender	> US\$10,000	Y3Q1	Y3Q1
Consultant - Individual (NC25)	Budget Specialist	5,000.00	Open tender	> US\$10,000	Y3Q1	Y3Q1
Consultant - Individual (NC26)	Support Specialist	8,000.00	Open tender	> US\$10,000	Y3Q1	Y3Q1
Consultant - Individual (IC1)	Conduct Institutional Review	9,000.00	Open tender	> US\$10,000	Y1Q1	Y1Q1
Consultant - Individual (IC2)	M&E Specialist	21,000.00	Open tender	> US\$10,000	Y1Q4	Y1Q4
Consultant - Individual (IC3)	Gender Specialist	9,000.00	Open tender	> US\$10,000	Y1Q2	Y1Q2
Consultant - Individual (IC4)	Inclusiveness Specialist	9,000.00	Open tender	> US\$10,000	Y1Q2	Y1Q2
Consultant - Individual (IC5)	Policy Specialist	9,000.00	Open tender	> US\$10,000	Y2Q1	Y2Q1
Consultant - Individual (IC6)	DRR/CCA Specialist	27,000.00	Open tender	> US\$10,000	Y1Q3	Y1Q3
Consultant - Individual (IC7)	CCA M&E Specialist	12,000.00	Open tender	> US\$10,000	Y2Q1	Y2Q1
Consultant - Individual (IC8)	Data Specialist	36,000.00	Open tender	> US\$10,000	Y2Q3	Y2Q3
Consultant - Individual (IC9)	Data Specialist	15,000.00	Open tender	> US\$10,000	Y1Q2	Y1Q2

Consultant - Individual (IC10)	CCA Specialist	9,000.00	Open tender	> US\$10,000	Y1Q3	Y1Q3
Consultant - Individual (IC11)	Capdev Specialist	12,000.00	Open tender	> US\$10,000	Y1Q3	Y1Q3
Consultant - Individual (IC12)	Sector Specialist	18,000.00	Open tender	> US\$10,000	Y2Q1	Y2Q1
Consultant - Individual (IC13)	Capdev Specialist	12,000.00	Open tender	> US\$10,000	Y2Q1	Y2Q1
Consultant - Individual (IC14)	Capdev Specialist	18,000.00	Open tender	> US\$10,000	Y3Q4	Y3Q4
Consultant - Individual (IC15)	Technical Specialist	24,000.00	Open tender	> US\$10,000	Y2Q1	Y2Q1
Consultant - Individual (IC16)	Priority Sector Specialist	12,000.00	Open tender	> US\$10,000	Y3Q1	y3/q1
Consultant - Individual (IC17)	Priority Sector Specialist	12,000.00	Open tender	> US\$10,000	Y3Q1	Y3Q1
Consultant - Individual (IC18)	Priority Sector Specialist	12,000.00	Open tender	> US\$10,000	Y3Q1	Y3Q1
Consultant - Individual (IC19)	Priority Sector Specialist	12,000.00	Open tender	> US\$10,000	Y3Q1	Y3Q1
Consultant - Individual (IC20)	Capdev Specialist	12,000.00	Open tender	> US\$10,000	Y2Q1	Y2Q1
Consultant - Individual (IC21)	Capdev Specialist	24,000.00	Open tender	> US\$10,000	Y2Q2	Y2Q2
Consultant - Individual (IC22)	Capdev Specialist	24,000.00	Open tender	> US\$10,000	Y2Q2	Y2Q2
Consultant - Individual (IC23)	Education Specialist	24,000.00	Open tender	> US\$10,000	Y3Q1	Y3Q1
Consultant - Individual (IC24)	Climate Finance Specialist	30,000.00	Open tender	> US\$10,000	Y2Q3	Y2Q3
Consultant - Individual (IC25)	Climate Finance Specialist	30,000.00	Open tender	> US\$10,000	Y2Q3	Y2Q3

Consultant - Individual (IC26)	Climate Finance Specialist	12,000.00	Open tender	> US\$10,000	Y2Q1	Y2Q1
Consultant - Individual (IC27)	Climate Finance Specialist	36,000.00	Open tender	> US\$10,000	Y2Q1	Y2Q1
Sub-Total (US\$)				\$1,276,000.00		

Annex D: Terms of References for Project Board and Project Team

Project Board

1. General Conditions

- 1.1. The Project Board is to be formed in accordance to the Project document.
- 1.2. This document establishes the fundamental tasks, structure, organizational process, and meeting schedule of the Project Board, as well as the functions and rights of the Project Board.
- 1.3. The Project Board is a group providing management and oversight, coordination functions, and political support to the Project.
- 1.4. The activity of the Project Board is based on the principles of free discussion and openness.

2. Fundamental Tasks of the Project Board

- 2.1. Oversight and coordination of the activities of the Project for successful realization of project activity.
- 2.2. Review, assessment, and elaboration of recommendations, as well as consultative and expert delivery of suggestions on strategy, contents, volume, and timetables to achieve stated objectives of the Project.
- 2.3. Delivery of assistance in the realization of the work plans of the Project.
- 2.4. The Project Board is to be guided by this document with regard to its activity.

3. Fundamental Functions of the Project Board

- 3.1. Overall direction of the realization of the project;
- 3.2. Definition of high-level directions of project;
- 3.3. Facilitation of collaboration with other complementary projects;
- 3.4. Facilitation of collaboration with government agencies, organizations, and other institutes for the successful realization of the project;
- 3.5. Provision of full access by the project to all documents and information in various government departments necessary for monitoring and realization of the project, as required;
- 3.6. Delivery of methodological and practical assistance to the project on questions of realization of project activities;
- 3.7. Review and endorsement of Annual Work Plans, budget revisions, and staged financing;
- 3.8. Review and endorsement of bi-annual reports on project activity;
- 3.9. Execution of the function of main coordinating body for promotion of the interests of the Project with regard to political, regulatory, legal, and financial support from the project beneficiary;
- 3.10. Continued effort to raise additional co-financing to support results and activities of the project after the conclusion of funding from the Green Climate Fund;
- 3.11. Discussion and confirmation of rationale for the establishment of project's ad hoc technical working group comprised by nominees from the key beneficiary ministries and agencies.

4. Organization of activity and scheduling of meetings of the Project Board

- 4.1. The Project Board conducts its work at meetings convened at least once annually, or more often as needed;
- 4.2. Decisions may be made by the Project Board with a quorum of two of its three members in attendance.
- 4.3. The Project Board makes decisions by votes at meetings. Project Board members attending meetings must devote every effort to achieving consensus;
- 6.4. Decisions of Project Board meetings are formulated as protocols;
- 6.5. Project staff will carry out the following activities in support of Project Board meetings: (i) preparation of an agenda, and provision of necessary materials; (ii) advance submittal of the draft agenda and accompanying materials with a cover letter for the review and approval of the Chairperson or his or her appointed delegate; (iii) announcement of the time and location of the meeting; and (iv) distribution of approved materials to the Project Board members no less than 7 days before the meeting.

Project Team

Project Manager

The Project Manager (PM) will report to the UNDP Team Leader/Climate Change, DRR, Energy and Environment and will work under the guidance of Deputy Resident Representative. The PM will work in close collaboration with the Committee for Environmental Protection along with UNDP Programme, Operations, Communications and other project teams in the UNDP Country Office.

1) Organization and Management:

- Develop annual work plans and execute project activities in consultation with the UNDP CO and the Project Steering Committee;
- Ensure adherence of the project work plan to the Project Document, prepare revisions if required, and ensure synergies with other donor funded initiatives focused on climate change;
- Prepare regular progress reports in line with reporting schedules, as well as any other reports requested by UNDP, donor, Government and or other stakeholders;
- Prepare final project report and process all other requirements for the project auditing, midterm and final evaluation and closure of the project as per UNDP standard procedures;
- Ensure timely recruitment and procurement of quality services and equipment and implementation of project activities in line with applicable UNDP rules, regulation and standards;
- Manage the human and financial resources for achieving results in line with the outputs and activities outlined in the project document and annual work plan;
- Lead, manage and oversee the project staff and consultants to ensure timely implementation of project activities and achievement of expected results;
- Ensure the project team members have clear set goals and targets as per which performance assessment is conducted;
- Undertake timely actions to respond to any project deviation or delays informing donor and partners;
- Review and ensure technical soundness and cost effectiveness of project activities;
- Support the establishment of monitoring frameworks and provide on-going feedback and technical backstopping and regularly monitor progress towards the identified indicators;
- Organize meetings of the Project Board (Project Steering Committee);
- Represent the project at the Project Steering Committee meetings, technical meetings and other appropriate fora in coordination with UNDP Country Office;
- Ensure timely planning and implementation of the envisaged baseline surveys, annual action research and project evaluations to inform project level planning and decision making;
- Ensure that project outputs have been achieved as appropriate, the project is successfully closed and that project outputs are revisited during the project evaluation process to assess the impact of project outputs on expected outcomes;
- Ensure security of the staff and assets belonging to the projects.

2) Delivery of Project Results:

- Oversee and monitor implementation of work plans and budgets for all project activities. Ensure that the project produces the results (outputs) specified in the project documents to the required standard of quality and within the specified constraints of time and cost;
- Monitor the project expenditures, commitments and balance of funds under the project budget lines, and draft project budget revisions in accordance and cooperation with UNDP's ATLAS system including the reporting on project funds and related record keeping;
- Ensure conformity of results with the Project Document and UNDP rules and procedures through budget preparation and management, planning and general monitoring of the project;
- Manage delivery of results by using up-to-date best practices and know-how in the subject area and accordingly plan delivery of resources for the performance year;
- Ensure that all project deliverables and documents are noted and stored, that the project is both operationally and financially closed in Atlas, that all tasks have been completed, that all assets have been transferred, that all issues are resolved and that the project is "done";
- Review professional performance and document implementation processes and results through a project-based professional reports.

- Monitor project expenditure, commitments and balance of funds under the project budget lines for cost-efficiency and consistency with the Project Document and corresponding Annual Work Plan. Prepare results framework for each output and establish performance and impact assessment indicators and system.

3) Policy and Technical Advice:

- The incumbent must arrange through different means the provision of policy advice to the Government as well as to the partners of the project, in the following areas:
 - Prepare plan of action for policy support services;
 - Provide intellectual or substantive leadership in the subject area through identification of key policy issues and formulation of best possible and alternative policy and programme options at local and national levels;
 - Stimulate strategic thinking in the subject area, taking into account the needs of Government, local authorities, non-government and development partners as well as opportunities to develop national public goods;
 - Map on a consistent basis the climate-related development issues, covering the situation and strategic opportunities in the form of reports;
 - Identify opportunities to enhance teamwork within the project and with other UNDP projects to capitalize on the specific advantages of multi-disciplinary support within the framework of the project;
 - Provide policy advice on the on-going policy development on climate change and ensuring the optimal design and sequencing necessary for enhancing the existing legal framework and institutional strengthening;
 - Provide technical support to the development and implementation of national adaptation planning strategies, including sustainable finance strategies.
 - Contribute to policy briefs, strategic notes, discussion papers on emerging climate change related issues, for consideration by the Government and other stakeholders;
 - Review and contribute to all outputs and deliverables produced under the project;
 - Analysis and aggregation of project results/outputs, and reporting of project progress at the objective and outcome level;
 - Development and implementation of capacity building activities aimed at government counterparts, civil society groups, media and relevant stakeholders.

4) Knowledge Management:

- Contribute to building the corporate body of knowledge in the area of climate change adaptation, by systematically (1) sharing knowledge with colleagues, and (2) ensuring that relevant experiences and lessons;
- Contribute written inputs to UNDP flagship products/newsletter/policy briefs, based on project results, data and information, lessons learned and best practices.
- Formulate a framework for data sharing among stakeholders, for project implementation
- Support the Government with analysis and substantive research into national adaptation planning, and other major national and local development issues;
- Sharing international best practices on implementation of climate change adaptation policies and practices through participatory processes and techniques involving civil society, women and minority groups.
- Ensure systemic capturing of key lessons learnt generated by the project through feasibility studies, research, surveys as well as other primary and secondary sources to produce knowledge-based products;
- Constantly monitor, and ensure highest UNDP standards in the provision of technical and advisory inputs, organization of workshops, seminars, training and delivery of outputs (products);
- Serve as peer reviewer, as and when required.

5) Partnership and Resource Mobilization:

- Identify stakeholders and partners for the undertaking of various project outputs and activities;

- Prepare and implement a stakeholder mapping and stakeholder engagement/partnership strategy including civil society/non-government organizations and indigenous & local communities with activities, targets and expected results;
- Develop new partnerships with civil society and/or non-governmental/ community-based organizations; local communities and private sector to deliver the project outputs and activities, as required;
- Establish and maintain sound partnerships with the Government, namely Committee for Environmental Protection under the Government of the Republic of Tajikistan, donors and other strategic partners;
- Ensure that project activities are closely coordinated with stakeholders and that a high level of collaboration and cooperation is in place at the national, regional, provincial and district level;
- Liaise with project partners to ensure their co-financing contributions are identified, secured and provided within the agreed terms;
- Liaise with other relevant government and relevant partners/stakeholders, UNDP Country Office regarding the project, including to share information about trends, issues and results, to coordinate and utilize resources effectively and efficiently.
- Ensure adequate information flow, discussions and feedback among the various stakeholders of the project according to the agreed management arrangements;
- Proactively identify potential sources of funding and assist in resource mobilisation for the project through development of concept notes and funding proposals to the potential donors and promoting project deliverables at the relevant development platforms;
- Prepare proposals for mobilization of human, technical or financial resources from international development organizations, non-government organizations and the private sector;
- Mobilize resources to support the achievement of project outputs and outcomes;
- Ensure regular communication of project results, including producing communication products and visibility materials, and liaison with media in Tajikistan and beyond;
- Ensure visibility of the project, including adherence to visibility standards and templates of the donor, UNDP and Government, as required.

Required skills and expertise

- A university degree (MSc or PhD) in a subject related to natural resource management or environmental sciences.
- At least 5 years of demonstrable project/programme management experience.
- At least 5 years of experience working with ministries, national or provincial institutions that are concerned with natural resource and/or environmental management.

Competencies

- Strong leadership, managerial and coordination skills, with a demonstrated ability to effectively coordinate the implementation of large multi-stakeholder projects, including financial and technical aspects.
- Ability to effectively manage technical and administrative teams, work with a wide range of stakeholders across various sectors and at all levels, to develop durable partnerships with collaborating agencies.
- Ability to administer budgets, train and work effectively with counterpart staff at all levels and with all groups involved in the project.
- Ability to coordinate and supervise multiple Project Implementation Units in their implementation of technical activities in partnership with a variety of subnational stakeholder groups, including community and government.
- Strong drafting, presentation and reporting skills.
- Strong communication skills, especially in timely and accurate responses to emails.
- Strong knowledge about the political and socio-economic context related to the Indonesian protected area system, biodiversity conservation and law enforcement at national and subnational levels.
- Excellent command of English, Russian and Tajik.

Administrative and Finance Assistant

The Administrative and Finance Assistant will be responsible for providing the required administrative support (HR, finance, logistics, and administrative support) to ensure effective and timely implementation of project activities.

1) Administration:

- Actively participate in the preparation of annual work plans, and project operational planning;
- Perform a variety of administrative tasks related to project implementation, including screening and collecting all programme/ project documentation, archiving of project documents;
- Collect, compile and provide information when required as well as provide assistance and support to programme and project staff in preparation of different presentations, reports, etc.;
- Support with organization of the meetings of the Project Steering Committee, including minutes taking;
- Support with preparation of regular progress reports in line with reporting schedule, as well as any other reports requested by UNDP, donor, Government and or other stakeholders;
- Liaise with the Country Office Operations team, counterparts and other parties in the preparation of contracts, budget and payments, as tasked by the project manager;
- Oral and written translation/interpretation in support of the project implementation, as required.
- Maintain an appropriate filing system documenting the implementation of activities.

2) Finance and Budget Management:

- Ensure full compliance of financial processes and financial records with UN/UNDP rules, regulations, policies and procedures;
- Support in budget preparation, budget set-up and clearance, as well as budget revisions;
- Develop forecasts of budget utilization, extra budgetary and the expenses related to activities as required;
- Monitor financial expenditure of the project and ensure that financial delivery of the project is in accordance with the project document and annual work plans;
- Verify all supporting documentation for payment requests, disbursement vouchers, Implementing Partners' financial reports and other financial documents, when required; ensure timely follow up actions on pre-payment vouchers;
- Prepare Purchase Orders, Receipts and PO based vouchers;
- Manage project budget in accordance with the UNDP financial rules and regulations and donor requirements;
- Ensure timely preparation of financial reports to donors in accordance with the reporting schedule and in line with specific requirements of the donor;
- Maintain internal expenditures control system by ensuring that vouchers processed are matched and completed, transactions are correctly recorded and posted in Atlas;
- Ensure timely corrective actions on Purchase Orders and vouchers with budget check errors, match exceptions, unapproved PO and vouchers
- Provide the accurate information to the Finance and HR Units for the monthly payroll;
- Suggest changes or improvements to increase accuracy and efficiency;
- Prepare mid- year and annual budget expenditure reports as per UNDP and donor requirements;
- Ensure preparation for, and support to the annual project audits;
- Ensure regular follow up to audit recommendations.

3) Travel:

- Make the required travel arrangements, accommodation, venue, and other logistics for workshops, trainings, seminars, etc.;
- Preparation and timely submission of Travel Authorizations (TAs) and travel claims. Ensure all travel related files contain up to date information.

4) Assets Management:

- Ensure inventory and asset management according to IPSAS requirements;
- Ensure availability of space in warehouse/distribution plans; maintains appropriate filing of logistics and shipping documents.
- Participate in regular physical inventory verification and submits subsequent inventory reports, produce the required release and receiving documents.

5) Human Resources Administration:

- Ensure timely submission of the documents for the project personnel contracts' issuance and extensions;
- Maintain the project personnel Attendance Sheets;
- Provide the required assistance with project's SC recruitment;

- Assist with the induction process of the newly hired SC holders at the project level.

Required skills and expertise

- Bachelor's degree or an advanced diploma in accounting/ financial management;
- At least five years of relevant work experience preferably in a project management setting involving multi-lateral/ international funding agency. Previous experience with UNDP or UN project will be a definite asset;
- Proficiency in the use of computer software applications particularly MS Excel;
- Excellent language skills in English (writing, speaking and reading) and in Russian, knowledge of Tajik is an asset.

Annex E: Terms of References for UNDP Staff

Terms of Reference

Programme Analyst / Climate Change, Disaster Risk Management, Energy and Environment

This TOR details the provision of technical support the UNDP Country Office in Tajikistan will extend towards the execution/implementation of the GCF-funded project, *“Enabling an Effective National Adaptation Plan (NAP) Process for Tajikistan”*.

The UNDP Country Office will provide the following technical services through the partial engagement of a Programme Analyst, NOB, equivalent to 1,2 months per year, for 3 years.

The costs incurred for the provision of the services described herein shall be recovered from the project budget. This technical assistance will be provided in the following areas:

- a) Regular facilitation of and dialogue with national stakeholders and development partners to ensure alignment of the NAP project outputs and results with the SDGs, United Nations Development Assistance Framework (UNDAF), National Development Strategy until 2030.
- b) Substantive technical inputs to align the project outputs and results to broader governance and reform related initiatives in Tajikistan.
- c) Substantive technical inputs in development of project outputs including but not limited to i) M&E framework, ii) stakeholder participation and inclusiveness guidelines, iii) development of indicators and methodology and reporting system for CCA, iv) sector appropriate M&E and analysis products, v) development of guidance on CCA statistics and indicators, vi) planning tools and outreach programme, vii) sectoral outreach strategy, viii) prioritized options in priority sectors, and their adaptation plans, ix) development of e-modules on CCA, x) national budgetary review, xi) financing plan for project pipeline, xii) guidelines and knowledge products on private sector engagement.
- d) Participate in and moderate at least 4 workshops on the NAP process annually
- e) Peer review of key TORs throughout the project, in particular, the NAP working groups, and team.
- f) Substantive guidance to development of knowledge products in particular, workshop materials, awareness raising materials, etc.

The costs will be charged against the Staff lines of the project budget and will amount to 4,647.00 USD/year.

Regional NAP Advisor

These Terms of Reference detail the provision of technical support the UNDP-GEF Regional team based in the Bangkok Regional Hub will extend towards the execution/implementation of the GCF-funded project, *“Enabling an Effective National Adaptation Plan (NAP) Process for Tajikistan.”*

The UNDP-GEF will provide the following technical services through the partial engagement of a Regional NAP Advisor, P4, equivalent to 0.8 months per year, for 36 months. The costs incurred for the provision of the services described herein shall be recovered from the project budget. This technical assistance will be provided in the following areas:

- (a) Provide inputs to the Tajikistan NAP team on:
 - a. current themes and new developments on adaptation planning at the UNFCCC and their relevance to national development strategies (National Development Strategy 2030, Medium-Term Development Program 2016-2030, NCCAS, etc.);
 - b. global and regional experiences on countries' alignment of their NAPs/NDCs and SDG related workstreams;
 - c. efforts to ensure Tajikistan NAP activities are aligned and coordinated with national, regional and global development agenda.
- (b) Provide sensitization and mentoring to the national NAP team on global and regional best practices and experiences on adaptation planning as they relate to specific outcomes of this project – through virtual briefings on:
 - a. methods for integration of climate change into planning and budgeting;
 - b. sub-national and sectoral integration of climate adaptation;

- c. gender analysis and gender mainstreaming into adaptation planning;
- d. public-private partnerships; and
- e. monitoring and evaluation of adaptation.

(c) Identify research and specialized institutions that can partner with Tajikistan to advise CEP and UCA on:

- a. Climate Risks and Vulnerability Assessments;
- b. Updating climate scenarios and future projections;
- c. Defining capacity development curricula;
- d. Post-graduate program for climate change adaptation planning and management;
- e. Development of e-learning modules for national and sub-national government stake-holders.

(d) Provide mentoring and advice to the Tajikistan NAP team on crowding in private sector for adaptation by bringing regional and global good practices on:

- a. Convening, catalyzing and capitalizing private finance;
- b. Identifying entry points for MSMEs, MNCs and/or investors;
- c. Identifying private sector engagement tools;

(e) Peer review knowledge products developed under the Tajikistan NAP project.

(f) Support the integrated monitoring and evaluation of all performance aspects, including technical, financial and operational aspects of the portfolio and contribute to quarterly reports and preparation of projects' bi-annual progress reports.

The costs will be charged against the Staff lines of the project budget and will amount to 11,000.00 USD/year.

Annex F: UNDP Risk Log

#	Description of the Risk	Potential consequence	Countermeasures Management response	Type: Risk Category	Probability and Impact (1-5)
1	Lack of capacity within CEP and other government agencies to implement NAP support project	Project implementation is delayed and less than effective	The project has a major capacity building component aimed at strengthening human resources in the CEP and priority sector agencies. These capacity building activities have been designed to respond to specific gaps and weaknesses and will incorporate lessons learned from other capacity development projects.	Organizational	P=2 I=3
2	High turnover in government agencies involved in NAP processes	Loss of institutional memory; additional time required to train new personnel; slower formulation of NAP and implementation of NCCAS	This is an issue that plagues virtually every agency in Tajikistan as government salaries are extremely low when compared to private sector opportunities, both domestically and internationally. This risk is exacerbated by the high number of climate change project being implemented in Tajikistan. To address this risk, the project has a robust mechanism of coordination with development partner agencies as well as non-government stakeholders, where significant expertise exists. In addition, the project's sub-outcome 2.3 will establish a capacity development program at a national university that will make training in professional skills relevant to climate change adaptation more readily available, thus contributing to a long-term increase in overall capacity in government.	Organizational	P=4 I=2

3	Ministries do not participate in NAP process and do not follow the lead of the CEP.	Lack of stakeholder buy-in; inability to fulfil project objectives	This risk exists because of the status of the CEP vis-à-vis line and coordinating Ministries; the CEP no longer Ministerial status and therefore does not have the equivalent authority of the Ministries and cannot direct the ministries to participate in the NAP process. For this reason, the project follows the model of the National Strategy on Disaster Risk Reduction, which was developed through a process of Inter-ministerial coordination led by the Committee on Emergency Situations, which has the same status as CEP. This process was successful because it began with a mandate from the Prime Minister, which compelled the line and coordinating ministries to participate in the process. In outcome 1, the NAP support project will obtain a similar mandate.	Organizational	P=1
4	Inter-ministerial coordination is lacking	Uncoordinated implementation leads to delayed implementation and suboptimal results	The project's activities have been designed to formulate and institutionalize an effective mechanism of horizontal coordination.	Organizational	P=2 I=3
5	Resistance from politically entrenched sectors and minimal sharing of information	Ineffective coordination and knowledge sharing decreases effectiveness and impact of NAP process	This issue is common in Tajikistan, as there is often minimal sharing of information across ministries and agencies. To address this issue, the project has strong outreach to the various ministries and agencies to demonstrate the utility of the NAP process. In addition, because the NAP process will likely lead to enhanced support for the ministries and agencies, they have enthusiastically supported the development of the NAP proposal and have expressed support for the project. The project enjoys strong support from all agencies and ministries in Tajikistan.	Political	P=2 I=3

6	Potential risk of delays in procurement at the start-up phase of implementation	Project implementation is delayed and less than effective.	The project has been designed with due consideration to the heavy procurement plan, and as such the project proposes a robust 4 person PMU as well as the backstopping of procurement services from UNDP Country Office in Tajikistan. Together these are designed to effectively and efficiently support the procurement activities, thus reducing the risk of delays in start-up.	Organizational	P=2 I=3
7	The global COVID19 pandemic and its impacts on Tajikistan may affect the project implementation causing delays in the implementation of the project interventions associated with engagement of local (district and sub-district level) authorities, travel and trainings/workshops (mass gatherings), due to the fact that it may be difficult for project stakeholders to adapt to the new "online" reality by shifting these interventions into online mode, due to limited internet connectivity across the country, its high costs, limited capacities of stakeholders in utilizing these approaches in their routine.	Project implementation is delayed and less than effective	The project will consider designing online training interventions, where possible, and will support the project stakeholders, located in the rural areas, by ensuring internet connectivity. During face-to-face trainings, the project will ensure all precautionary measures to prevent COVID19 spread, are taken (such as limiting number of participants in the trainings, provision of masks and sanitizers, etc.). The project will continuously document lessons learnt in design and application of online trainings to ensure they can be applied to the project going forward.	Operational	P=2 I=3

3	Potential adverse social and environmental impact of project activities on marginalized communities and/or geographical zones in Tajikistan	Population and environment are adversely affected	<p>The project is divided into 3 outcomes on all centered around building capacity for effective adaptation planning in Tajikistan. As such the project is concerned solely with a) preparation and dissemination of reports, and b) organization of events, workshops and trainings. All the activities fall under the exception criteria for SESP and do not contribute to any potential social or environmental impacts. There are no concrete adaptation interventions (pilot or otherwise) envisaged under this project.</p> <p>Furthermore, to ensure a transparent and inclusive process and that marginalized and vulnerable populations are engaged, the project establishes a technical committee (please see project support and local stakeholders on page 48, project management and governance section) comprised of all key actors. Stakeholder engagement plan will also be produced and implemented to ensure broad-base engagement of stakeholders throughout the lifetime of the project.</p>	Social and Environmental Safeguards
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9	Resistance from the Ministry of Finance to provide financing required for National Adaptation Plan (NAP) implementation and monitoring of prioritized adaptation actions.	Project implementation is less than effective	<p>The project will explore and adopt the best practices in securing a range of potential sources of finance - private and public, international and domestic - to achieve the adaptation ambitions determined through their NAP processes. The project will consider which sources of financing may be appropriate to meeting Tajikistan's financing needs.</p> <p>The project will also ensure complementarities with other ongoing initiatives focused on innovative financing and private sector engagement.</p>	Organizational	P=2 I=3
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