

## Cover Page

Country: **Republic of Uzbekistan**

Programme Title: **Sustaining Livelihoods Affected by the Aral Sea Disaster**

Joint Programme Outcomes: Economic well-being of vulnerable groups is improved;  
Enhanced access to and utilization of relevant, quality essential social services;  
Effectiveness, inclusiveness and accountability of governance at the central and local levels enhanced.

(where different from the UNDAF) N/A

<b>UNV</b>	
DATE	27. APR. 2012
FOR ACTION	ODA
FOR INFO	.....
Initials	.....
Date	.....
Noted	.....

<p>Programme Duration: <b>36 months</b></p> <p>Anticipated start/end dates: <b>1 March, 2012–1 March, 2015</b></p> <p>Fund Management Option(s): <b>Parallel</b></p> <p>Managing or Administrative Agent: <b>UNDP</b> (Lead Agency)</p>	<p>Total estimated budget*: <b>USD 3,840,449.82</b></p> <p>Out of which:</p> <p>1. Funded Budget: <b>USD 3,840,449.82</b> 2. Unfunded budget: <b>N/A</b></p> <p>* Total estimated budget includes both programme costs and indirect support costs</p>
<p><b>Ms. Anita Nirody,</b> <b>UN Resident Coordinator</b></p> <p>Signature </p>	<p>Sources of unfunded budget:</p> <ul style="list-style-type: none"> <li>• UNTFHS <span style="float: right;">USD 3,840,449.82</span></li> </ul>

### Names and signatures of national counterparts and participating UN organizations

UN agencies	Government
<p><b>Mr. Jaco Cilliers</b> <b>UNDP Deputy Resident Representative</b></p> <p>Signature </p> <p>Date&amp;Seal</p>	<p><b>Mr. Dilmurod Turdiev</b> <b>Deputy Minister of Economy of the Republic of Uzbekistan</b></p> <p>Signature </p> <p>Date&amp;Seal</p>
<p><b>Mr. Karl Kulesa</b> <b>UNFPA Representative in Uzbekistan</b></p> <p>Signature </p> <p>Date&amp;Seal</p>	<p><b>Mr. Anvar Alimov</b> <b>First Deputy Minister of Health of the Republic of Uzbekistan</b></p> <p>Signature </p> <p>Date&amp;Seal</p>
<p><b>Mr. Jorge Ivan Espinal</b> <b>UNESCO Representative in Uzbekistan</b></p> <p>Signature </p> <p>Date&amp;Seal</p>	<p><b>Mr. Nurullan Erlepesov</b> <b>Deputy Chairman of the Council of Ministers of the Republic of Karakalpakstan</b></p> <p>Signature </p> <p>Date&amp;Seal</p>
<p><b>Mr. Iskandar Ismailov</b> <b>WHO Officer In-Charge</b></p> <p>Signature</p> <p>Date&amp;Seal</p>	
<p><b>Ms. Flavia Pansieri</b> <b>UN Volunteers Executive Coordinator</b></p> <p>Signature </p> <p>Date&amp;Seal</p>	







## **ANNEX II: Implementation arrangements and legal context**

### **1. Implementation of the Joint Programme**

This Joint Programme will be implemented in line with the objectives set forward and within the budgetary framework agreed upon by the UN Agencies and National Counterparts and endorsed by the United Nations Trust Fund for Human Security (UNTFHS) in the Joint Programme Proposal.

This ANNEX is an integral part and provides programmatic and financial framework for the implementation of the Joint Programme, which will be financed by the UNTFHS under parallel funding modality.

The Joint annual work plans will be developed as per the established template and signed every year of implementation by the participating UN Agencies and National Counterparts to specify the programmatic and budgetary framework in line with the Joint Programme Proposal.

Approved Joint annual work plan for the first year of the Joint Programme implementation should be provided to UNTFHS within three months after the start of the Joint Programme. For the remaining years of the implementation approved Joint annual work plans should be attached to the consolidated progress report of the previous period.

### **2. Financial Matters**

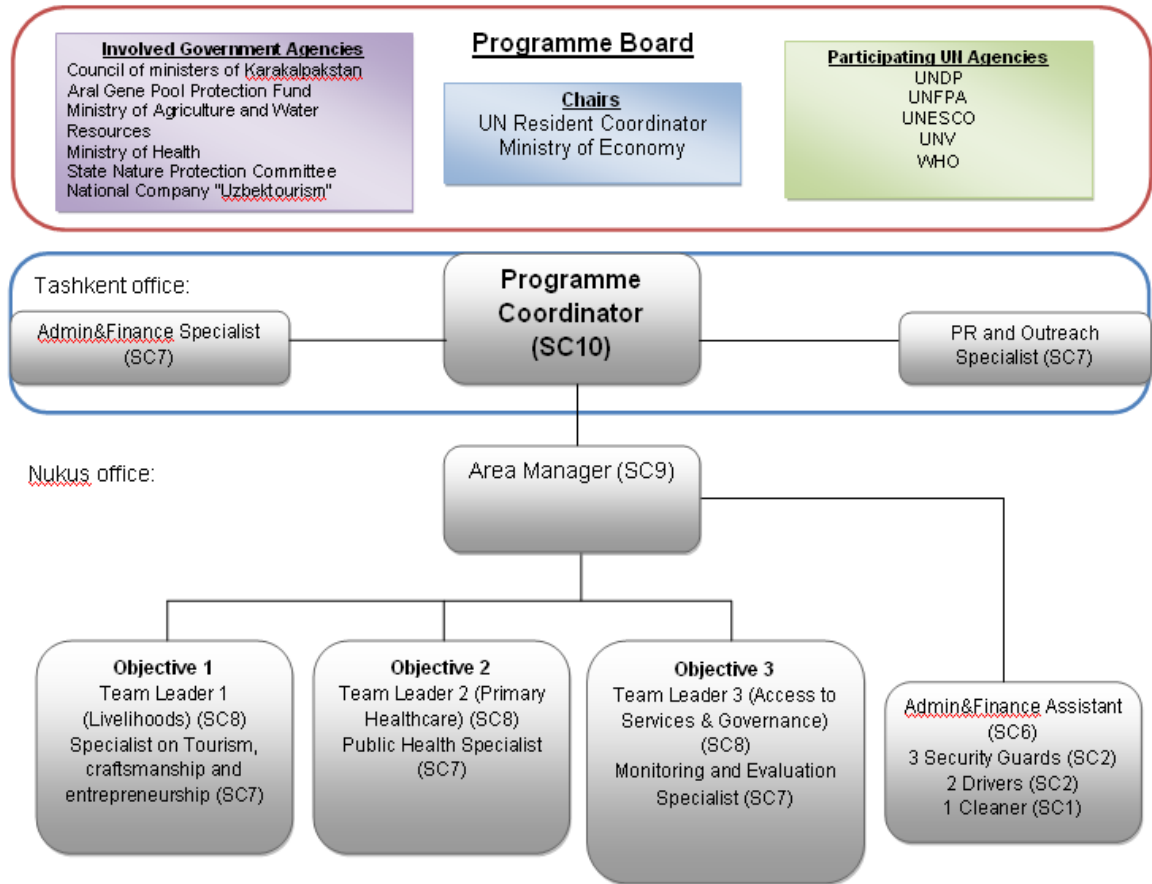
Each Participating UN Agency will sign a Financial Agreement with the UN Office of the Controller which governs the use of funds contributed from the UNTFHS. Therefore, each Participating UN Agency is responsible for signing respective Financial Agreement in order to start the implementation of Joint Programme activities.

Each Participating UN Agency will establish a separate ledger account under its financial regulations and rules for the receipt and administration of the funds disbursed to it by the UNTFHS. That separate ledger account shall be administered by each Participating UN Agency in accordance with its own regulations, rules, directives and procedures, including those relating to interest. That separate ledger account shall be subject exclusively to the internal and external auditing procedures laid down in the financial regulations, rules, directives and procedures applicable to the Participating UN Agency concerned.

Each Participating UN Agency will use the funds disbursed to it by the UNTFHS to carry out the activities for which it is responsible as set out in the Joint Programme Proposal, as well as for its indirect costs. The Participating UN agencies will commence and continue to conduct operations for the Joint Programme activities only upon receipt of disbursements as per the approved Annual Working Plan (AWP). The Participating UN agencies will not make any commitments above the approved budget in the Joint Programme Proposal, as amended from time to time by the Programme board.

Indirect costs of the Participating UN agencies recovered through programme support costs (PSC) will be set at 7%. In accordance with the UN General Assembly resolution 62/208 (2007 Triennial Comprehensive Policy review principle of full recovery), all other costs incurred by each participating UN Agency in carrying out the activities for which it is responsible under the Joint Programme will be recovered as direct costs.

Joint Programme Management Structure



#### 4. Activities of the National Implementing Agency

As per the agreement between the UN Agencies and Government, the Ministry of Economy of the Republic of Uzbekistan will be responsible for overall coordination of the Joint Programme from the Government side, while the FAGPP will perform the role of the National Implementing Agency of the Joint Programme.

The Ministry of Economy of the Republic of Uzbekistan and the FAGPP both will be responsible for coordination of the Joint Programme among the Government ministries and agencies involved in the Joint Programme implementation and the Ministry of Economy of the Republic of Uzbekistan as the co-chair in the Programme Board will provide strategic guidance to the implementation of the Joint Programme in line with the priorities of the Government of Uzbekistan. The Council of Ministers of the Republic of Karakalpakstan will be expected to provide support to local level activities in the implementation of the Joint Programme.

The FAGPP takes the full ownership of the results of the Joint Programme and therefore ensures the effective and efficient implementation of the Joint Programme and the achievement of its targets and objectives as set out in the Joint Programme Proposal. The FAGPP within its competence will also assist in resolving operational issues that may arise with national partners with regard to the implementation of this Joint Programme, including timely execution of contracts duly signed by participating UN agencies with sub-contractors.

Continuous assistance will be rendered to the FAGPP within the framework of the Joint Programme in further strengthening its institutional capacity and sustainability to more effectively perform the

tasks entrusted to it by the Government of Uzbekistan (as per Resolution of the Cabinet of Ministers #162 dated 3 April 2004). The FAGPP will make its best effort to ensure wide participation of international organizations in the implementation of the Joint Programme through various financing modalities (cost-sharing, co-financing, parallel funding, etc).

## **5. Activities of the Participating UN agencies**

The Implementation of the Joint Programme activities will be carried out by each Participating UN Agency in accordance with the regulations, rules, directives and procedures applicable to it. Accordingly, equipment, supplies and services will be purchased and contracts entered into in accordance with provisions of such regulations, rules, directives and procedures. Recruitment of Programme Implementation Unit personnel will be conducted in accordance with UNDP rules and regulations. Upon completion of the Joint Programme the matter of ownership shall be determined in accordance with the regulations, rules, directives and procedures applicable to such Participating UN Agency, including where applicable, any agreement with the Government of Uzbekistan.

Any modifications to the scope of the approved Joint Programme Proposal, including as to its nature, content, sequencing or the duration thereof shall be subject to mutual agreement in writing between the relevant Participating UN Agency and the Programme Board. The Participating UN Agency shall promptly notify UNTFHS through the Joint Programme Board, of any change in the budget as set out in the Joint Programme Proposal.

The UNTFHS reserves the right to discontinue future disbursements if reporting obligations are not met or if there are substantial deviations from agreed plans and budgets. In case of evidence of improper use of funds, the Participating UN Agency will use its best efforts, consistent with its regulations, rules, policies and procedures to recover any funds misused.

As an exceptional measure, particularly during the start up phase of the Joint Programme, subject to conformity with their financial regulations, rules and directives, Participating UN agencies may elect to start the implementation of the Joint programme activities in advance of receipt of initial or subsequent transfers from the UNTFHS by using their own resources. Such advance activities will be undertaken in agreement with the Programme Board on the basis of funds it has allocated or approved for implementation by the particular Participating UN Agency following receipt of an official commitment form or signature by the donors contributing to the Joint Programme. Participating UN agencies will be solely responsible for decisions to initiate such advance activities or other activities outside the parameters set forth in this ANNEX.

## **6. Appointment of the Lead Agency among the Participating UN agencies**

The Participating UN agencies agree that UNDP will serve as the Lead Agency in regard to the Joint Programme. The Lead Agency accepts this appointment on the understanding that the Participating UN agencies assume full programmatic and financial accountability for the funds disbursed to them by the UNTFHS.

On behalf of the Participating UN agencies, the Lead Agency will:

- a) Compile the copies of certified financial reports produced by each of the Participating UN agencies into a consolidated report, and distribute such financial reports together with consolidated programme reports produced by the Participating UN agencies, to the UNTFHS and to the Programme Board;

- b) Provide final reporting, including notification that the Joint Programme has been operationally completed.

## **7. Reporting**

Each Participating UN Agency will develop certified annual financial statements and reports as of 31 December with respect to the funds disbursed to it from the UNTFHS, and submit to the UNTFHS no later than six months (30 June) after the end of the calendar year.

The Participating UN Agency will provide to the Lead Agency the following reports and statements prepared in accordance with accounting and reporting procedures applicable to the Participating UN Agency concerned. The Participating UN agencies will endeavour to harmonize their reporting formats to the extent possible:

- (a) Annual narrative progress reports, to be provided no later than one month (31 January) after the end of the calendar year. Narrative progress reports shall detail outputs, achievements and constraints with regards to the utilization of this contribution, per the United Nations Trust Fund for Human Security (UNTFHS) requirements;
- (b) Copies of annual financial statements and reports certified by the Controller of the Participating UN Agency as of 31 December with respect to the funds disbursed to it from the UNTFHS, to be provided no later than six months (30 June) after the end of the calendar year. Financial reports and statements shall reflect the amount received in relation to expenditure from the contribution. The financial reports and statements submitted by the Participating UN agencies shall provide information in the format established as per the UNTFHS requirements;
- (c) Final narrative reports, after the completion of the activities in the Joint Programme Proposal and including the final year of the activities in the Joint Programme Proposal, to be provided no later than four months after the financial closing of the Joint Programme. The final report will give a summary of results and achievements compared to the goals and objectives of the Joint Programme; and
- (d) Copies of certified final financial statements and final financial reports after the completion of the activities in the Joint Programme Proposal and including the final year of the activities in the Joint Programme Proposal, to be provided no later six months after the financial closing of the Joint Programme.

The Lead Agency will prepare consolidated narrative progress reports and financial reports and statements consisting of the reports and statements referred to in paragraph 1 (a) to (d) above submitted by each Participating UN Agency, and provide those consolidated reports and statements to the UNTFHS, in accordance with the timetable established in the UNTFHS Guidelines and to the Joint Programme Board. In consolidating the reports and statements, the Lead Agency will sign and certify that the consolidation of the respective reports is accurate, based on the reports and statements provided by the Participating UN agencies, and their respective Controllers.

Consolidated reports and related documents will be posted on the website of the UN in Uzbekistan ([www.un.uz](http://www.un.uz)).



## 8. Monitoring and Evaluation

Monitoring and evaluation of the Joint Programme shall be undertaken in accordance with the provisions contained in the Joint Programme Proposal, which are consistent with the respective regulations, rules and procedures of the Participating UN agencies.

The Programme Implementation Unit will work closely with the Participating UN agencies and the national Partners to track the progress towards the achievement of targets and outputs reflected in the Results framework of the Joint Programme Proposal.

The Participating UN agencies and the National Implementing Partners agree to provide the necessary data and information related to measuring the progress of the targets and outputs as set out in the Joint Programme Results framework.

The Programme Implementation Unit will be responsible for developing annual narrative progress reports with input and technical support of the Participating UN agencies.

The Programme Board will review the status of the Joint Programme implementation during the regular Board meetings.

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### LEGAL CONTEXT

<b>Participating UN Agency</b>	<b>Agreement</b>
<b>UNDP (and UNV)</b>	<p>The set of documents (including Cover Page, approved Joint Programme Proposal and Annex to JP Proposal) together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in the Standard Basic Assistance Agreement between the Government of Uzbekistan and UNDP signed on 10 June 1993 and all CPAP provisions apply to this document.</p> <p>Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner.</p> <p>The implementing partner shall:</p> <ul style="list-style-type: none"><li>a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;</li><li>b) assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.</li></ul> <p>UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.</p>

<b>UNFPA</b>	The set of documents (including Cover Page, approved Joint Programme Proposal and Annex to JP Proposal) together with the CPAP signed by the Government and UNFPA which is incorporated by reference constitute together a Project Document as referred to in the Standard Basic Assistance Agreement between the Government of Uzbekistan and UNDP signed on 10 June 1993, which also applies <i>mutatis mutandis</i> to the activities and personnel of UNFPA in the Republic of Uzbekistan.
<b>UNESCO</b>	The set of documents (including Cover Page, approved Joint Programme Proposal and Annex to JP Proposal) stipulates cooperation in line with the Agreement between the Government of the Republic of Uzbekistan and the United Nations Educational, Scientific and Cultural Organization signed on 23 April 1996.
<b>WHO</b>	The set of documents (including Cover Page, approved Joint Programme Proposal and Annex to JP Proposal) envisages technical advisory assistance as stipulated in the Basic Agreement between the World Health Organization and the Government of Uzbekistan for the Establishment of technical advisory cooperation relations signed in 1994.

*The Implementing Partners agree to undertake all reasonable efforts to ensure that none of the funds received pursuant to this Joint Programme are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by Participating UN agencies do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>*