UNITED NATIONS DEVELOPMENT PROGRAMME

PROJECT DOCUMENT
[Country name, or Global/Regional Project]

Project Title: Enhanced Programme Support, Monitoring and Evaluation systems in place to respond to the development needs of the Government of Uzbekistan: support to CPD implementation

Project Number: 00095274

Implementing Partner: UNDP

Start Date: May, 2016   **End Date:** April, 2021

PAC Meeting date:

Brief Description
The project aims at supporting the implementation of the new country programme document through actions that are enabling a neutral, qualified and rapid response to the emerging needs of the Government and UNDP cooperation. The intervention will support formulation of new initiatives, policy advice work, and integration of cross cutting dimensions, in particular gender equality, in the UNDP and Government programme for 2016-2020. This will be a directly implemented project, allowing neutral, cross-sector and rapid deployment of development solutions. It will allow higher standard knowledge and advisory services in support of Government capacities development at national and local levels; advancing gender equality and its mainstreaming in every area through UNDP's cooperation with the Government gradually transforming the policy-making processes. The project will support efforts of stronger quality assurance and more rigorous monitoring and evaluation.

Contributing Outcome of UNDAF 2016-2020: Outcome 1: By 2020, equitable and sustainable economic growth through productive employment, improvement of environment for business, entrepreneurship and innovations expanded for all; **Indicative Output(s) of the CPD 2016-2020:** Output 1: Strengthened institutional capacities for integrated strategic planning.	**Total resources required:**	$900,000
	Total resources allocated:	$ 700,000
	UNDP TRAC:	$700,000
	Donor:	TBC
	Government:	TBC
	In-Kind:	TBC
	Unfunded:	USD 200,000

Agreed by (signatures)[1]:

UNDP
Stefan Priesner, UNDP Resident Representative   1 4 FEB 2016
Date:

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[1] Note: Adjust signatures as needed

I. DEVELOPMENT CHALLENGE (1/4 PAGE – 2 PAGES RECOMMENDED)

The mid-term review of the previous 2010-2015 Country Programme Action Plan has outlined the need for the timely and effective policy advisory support to be available for the emerging needs of Uzbekistan as a 'country-in-transition'. With the downshifting donor resources to the country for the development due to its status of Middle Income Country and the priorities of the Government to invest in resource-intensive sectors, larger social protection, human development, gender equality, rural development issues still require significant investments and depend on donor funds.

The outcome of the evaluation has suggested that in line with UNDP Global Strategic Plan, the team in Uzbekistan should increase UNDP's capacity for more integrated, cross-sector policy advice and programming and to intensify interaction with government and nongovernment counterparts. Special emphasis of the recommendations was on building greater awareness and on strengthening the linkages between programmes, both internally and externally, especially to promote women's empowerment and the central elements of human-rights-based human development.

Another area of recommendation for UNDP Uzbekistan was to play the key role in increasing UN capacity to swiftly respond to new development programming opportunities; beyond the UN Joint Programme (currently on Aral sea), this implies sharing and jointly utilizing capacity more between UN agencies and partners, for assessments, resource mobilization and monitoring and evaluation.

Responding to the Government's request, it has been noted that UNDP should continue to help the Government create move enabling environment for the donors presence. Building on the trustful relations with the Government, UNDP should strive to increase Government cost sharing. In addition, UNDP should diversify its partnership base to mitigate reliance on a limited number of donors, including via new opportunities with non-traditional donors and the private sector.

UNDP through present project will aim at maximizing effect from addressing cross cutting and cross sector issues building on the new SDGs. Thus, SDG roll out support to the Government will be rendered along with urgent advisory support outside projects portfolio and most importantly, advocacy on sensitive issues such as gender based violence, HIV prevention and punitive legislation and others.

II. STRATEGY (1/2 PAGE - 3 PAGES RECOMMENDED)

New Country Programme Document 2016-2020 has been designed in full conformity with the UNDAF 2016-2020. Within the next UNDAF programming cycle commencing in 2016 UNDP given its successful partnership with the Government of Uzbekistan, will continue supporting it in priority areas identified in the CPD. In order to ensure fast and effective response to the emerging needs in these key areas as well as in order to **strengthen accountability**, monitoring and evaluation practices, UNDP will require a directly implemented project in support of its Country Programme Document 2016-2020.

The results and resources framework will be a strategic tool through which UNDP and national partners agree on performance indicators, baselines and targets, with corresponding means of verification, including periodic government surveys and independent external evaluations. Given possible differences between some official data and international estimates, UNDP will refer to both sources of information.

Through active participation in the United Nations monitoring and evaluation group, UNDP will provide technical advice and support on all aspects of results-based management. It will develop a monitoring and evaluation plan for **joint monitoring of results** with involvement of key government counterparts and civil society organizations, a midterm evaluation of the UNDAF and country programme, and annual consolidated performance monitoring. These activities will guide preparation of adaptive strategies for evolving national priorities.

In order to ensure effective implementation of the CPD 2016-2020, the following activities are envisaged:

III.   RESULTS AND PARTNERSHIPS

Expected Results

1. **Effective policy and advisory support services to respond to the emerging development needs of the Government of Uzbekistan ensured**

Based on its comparative advantage as a very broadly mandated UN programme that works very closely with the Government, UNDP will facilitate international support on sustainable human development (e.g. under the Government's emerging Vision 2030, the sustainable development goals). UNDP is particularly well placed to serve the Government and all the people of Uzbekistan, including by connecting to top-level international expertise and development experience in the 177 countries with the four key areas identified for the period of 2016-2020: equitable and sustainable economic growth; sustainable management of natural resources and resilience building; strengthening public administration; as well as judicial reform and human rights .

2. **Strengthened Joint Monitoring and Evaluation system of UNDP CPD aligned with UNDAF M&E system**

As outlined in the CPD 2016-2020, UNDP will establish a **monitoring and evaluation** framework for the UNDAF and country programme, using national data collection system. It will ensure data disaggregation by sex, age, income level, rural-urban divide, and other target groups. UNDP will conduct multi-year policy research and analysis in cooperation with leading national think tanks.

UNDP will deepen the **knowledge and practices of national partners through conducting joint monitoring** over CPD projects and programmes bringing together key counterparts with decision authority and the beneficiaries.

In order to address the recommendations of the mid term CPAP review, UNDP will develop a **lessons learnt** log by mid 2016 that would cover the period of 2010-2015 of the previous programmatic cycle in order to ensure informed and evidence based decision making for the new cycle. Together with the Government partners the lessons learnt log will be validated and maintained for future planning purposes.

UNDP will prepare a database of output level indicators with the support of Istanbul Regional Hub to make sure projects developed within the new CPD are RBM sound, gender sensitive and responsive; monitoring system is standardized to enable partners and stakeholders assess the progress made, identify bottlenecks and issues as well as more thoroughly manage risks.

3. **Stronger partnership and advocacy policies as well as targeted communication for development in place**

Results of the partners survey and the mid term evaluation of the CPAP 2015-2010 suggest that existing partners are very positive in their feedback of UNDP's support in the country, which can be attributed to the strong emphasis on relationship management in UNDP Uzbekistan projects. However, more can be done to make UNDP's partnerships more inclusive and to integrate them more strongly with a programme-based rather than project-focused approach. Within this project, **partnership strategy** will be reconsidered, evaluated and the new one based on the lessons learnt developed.

MTR outlines that knowledge management tools (e.g. websites) appeared to work well during projects' life cycle in the past programmatic cycle, i.e. as long as they are maintained via dedicated UNDP funding, but more can be done to ensure sustainability, including by integrating these tools. Specifically this component will be aimed at development of high quality knowledge products.
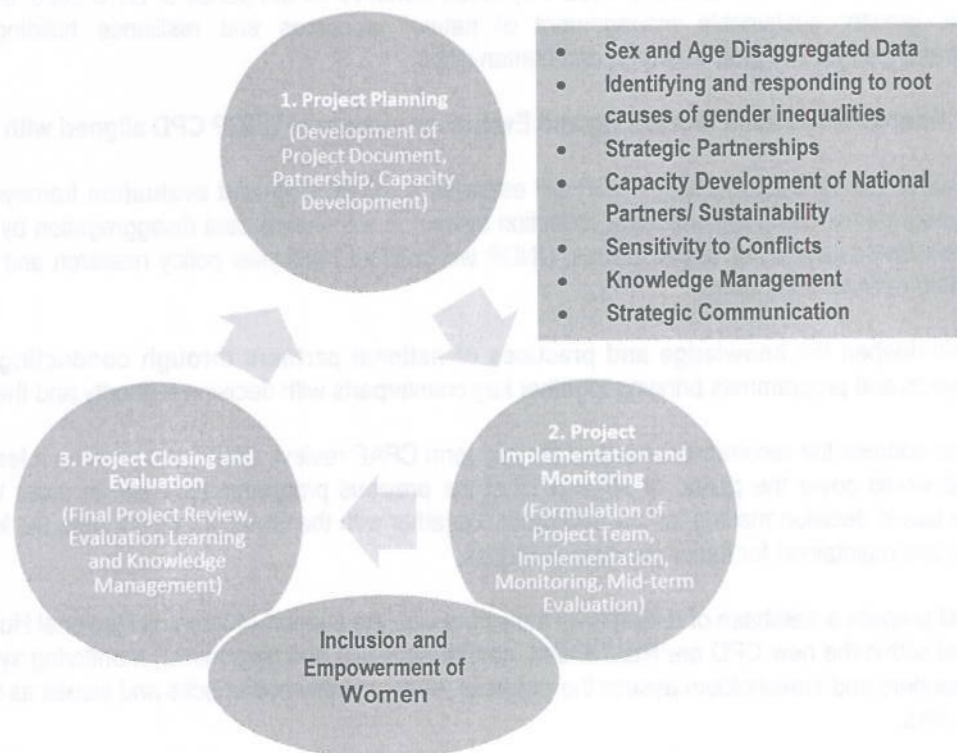
UNDP is one of the most trusted development partners of the Government, with a broad mandate on human development and the capacity and international expertise to deliver highest-quality support. Among the key strengths supporting this comparative advantage has been effective communication, above all via electronic media and UNDP will keep up this work during the next cycle to ensure its accountability and transparency.

4. **Gender equality is mainstreamed across all UNDP projects and programmes**

The gender dimensions of programming imply paying attention to the different needs, interests, rights and opportunities of women, men, boys and girls, through all stages of the programme design from situation analysis, developing

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programme strategies, framing results, making financial allocation and designing monitoring and evaluation. While gender equality is the broader goal, a major part of UNDP and partners' programming efforts should aim at addressing structural inequalities faced by women in the political, economic and social spheres that have historically disadvantaged women and societies. During the past programmatic cycle UNDP had good results on gender mainstreaming but at the same time the share of projects with gender equality dimensions incorporated was rather low.

In order to address and systematically approach the issue, UNDP Uzbekistan will establish Gender Equality Assurance Team comprising of CO and project colleagues who would possess relevant knowledge and be able to advise every project individually being part of respective Project Boards. This approach will allow not only to spread the knowledge and experience in gender mainstreaming but also ensure that gender dimensions are well reflected at every stage of the project lifecycle – from defining the idea to the closure of the project.

- Sex and Age Disaggregated Data
- Identifying and responding to root causes of gender inequalities
- Strategic Partnerships
- Capacity Development of National Partners/ Sustainability
- Sensitivity to Conflicts
- Knowledge Management
- Strategic Communication

1. Project Planning
(Development of Project Document, Patnership, Capacity Development)

2. Project Implementation and Monitoring
(Formulation of Project Team, Implementation, Monitoring, Mid-term Evaluation)

3. Project Closing and Evaluation
(Final Project Review, Evaluation Learning and Knowledge Management)

Inclusion and Empowerment of Women

Among others, the Gender Equality Assurance led by the senior management will provide the following advisory services:
-   Support in identifying the needs of different groups and focus on those to be strategically addressed by UNDP based on its comparative advantage
-   Support in identifying strategic entry points to promote women's empowerment and gender equality in specific areas
-   Incorporate gender equality and mainstreaming lessons learned, best practices and recommendations from previous programmes and evaluation reports into overall programme design and strategy

Resources Required to Achieve the Expected Results
In order to achieve the expected result UNDP would allocate around 140,000 USD annually from its core programme resources. This project would require additional resources mobilization. The UNDP RM strategy will be used to engage with the donors and utilize DPC (Annexed).

Partnerships
However the project results are not possible without key UNDP National Implementing Partners, in order to ensure neutrality in decision making, the project requires Directly Implementation modality.

Risks and Assumptions
The gender equality mainstreaming as a concept is not evenly understood, therefore continuous advocacy will need to be put in place to transform policy making.
Potential delays in implementation of programme activities related to tightened control on NGOs operations

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Financial sustainability of the office may be at risk that could pose certain limitation in terms of set output achievement. A thorough RM strategy will be put in place and monitored on annual basis.

More risks identified as part of the 2016 IWP:
https://intranet.undp.org/sites/UZB/SitePages/RisksLogV3.aspx?year=2016

Stakeholder Engagement

The target groups identified for the CPD cycle and the projects of the portfolio, namely women in rural areas, people with disabilities, people affected by HIV, other disadvantaged men and women.

IV. PROJECT MANAGEMENT (1/2 PAGES - 2 PAGES RECOMMENDED)

Cost Efficiency and Effectiveness

i) The cost effective mechanisms will be ensured through the check and balances and the best value for money for the administration, procurement and human resources management

Project Management

ii) Project will be implemented by the Programme Clusters with the support from and Resources Management Unit under the leadership of UNDP Deputy Resident Representative and overall guidance of the Resident Representative

V. RESULTS FRAMEWORK[2]

Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:

Outcome 7: By 2020, the quality of public administration is improved for equitable access to quality public services for all;

Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets:

Applicable Output(s) from the UNDP Strategic Plan:

3 Countries have strengthened institutions to progressively deliver universal access to basic services

Project title and Atlas Project Number:

EXPECTED OUTPUTS	OUTPUT INDICATORS[3]	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)						DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	Year 4	Year 5	FINAL	
Output 1 Enhanced Programme Support, Monitoring and Evaluation systems in place to respond to the development	*1.1.Number of policy/ research proposals taken by the Government in the areas of livelihoods, environmental sustainability and good governance*	*Gov. statistics*	3*	2015	1	3	5	7	9	9	*Scanning of the projects results and the verification of the Government official data; Partner survey*
	2.1 Number of joint monitoring visits by Government, NGO and international communities conducted to oversee progress made/ failures and learn lessons and adjust programming	*UNDP data*	1	2015	1	2	3	4	5	5	*Reports/ Monitoring visits*

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

3 It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

- The Strategic Note 2016

needs of the Government of Uzbekistan: support to CPD implementation	**2.2** % of projects undergone NEW Quality Assurance at least 3 times during the lifetime	UNDP data/ CPS	0	2015	80%	100%	100%	100%	100%	100%	Reports/ Monitoring
	3.1 Number of new donors attracted by UNDP Uzbekistan annually (with tentative agreements reached on contribution/ funding)	UNDP data/ CPS	1*	2015	1	2	3	4	5	5	Reports/ Monitoring
	4.1. % of UNDP projects with Gender marker above 2: Meaning at least Gender equality considerations being duly addressed in each of the activities/ components or availability of a dedicated component on gender equality	UNDP data/ CPS External evaluation	2%	2015	20%	30%	50%	50%	60%	70%	Reports/ Monitoring

VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:
[Note: monitoring and evaluation plans should be adapted to project context, as needed]

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.		
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.		
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.		
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.		
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with	Annually, and at the end of the project (final report)			

		mitigation measures, and any evaluation or review reports prepared over the period.
Project Review (Project Board)	Annually	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.

Evaluation Plan

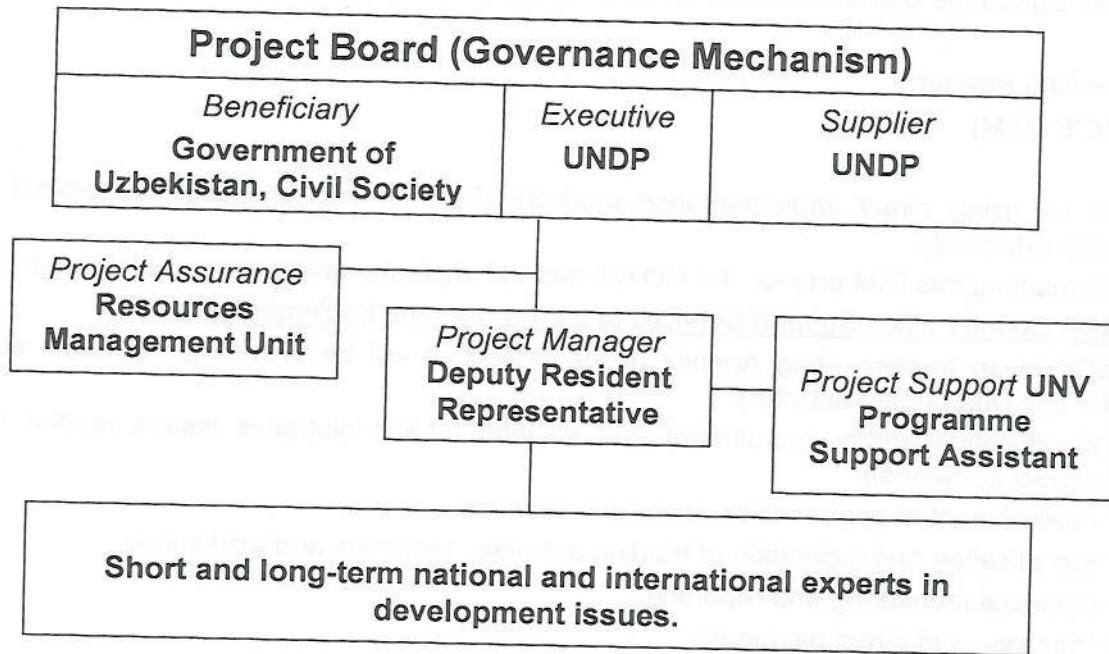| Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
e.g., Mid-Term Evaluation	UNDP	1	all	2020	National Implementing Partners	20 000 USD

VII. Multi-Year Work Plan

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. Services that will result in direct project costs need to be disclosed transparently in the project document.

Will be defined annually with 140, 000 USD distributed equally among the 4 components of the project and duly reflected in the Atlas system.

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Project Board (Governance Mechanism)		
Beneficiary **Government of Uzbekistan, Civil Society**	*Executive* **UNDP**	*Supplier* **UNDP**

Project Assurance **Resources Management Unit**	*Project Manager* **Deputy Resident Representative**	*Project Support* **UNV** **Programme Support Assistant**

Short and long-term national and international experts in development issues.

1. Legal Context:
Country has signed the Standard Basic Assistance Agreement (SBAA)

2. Implementing Partner:
   ☐ UNDP (DIM)

UNDP will be using *direct implementation modality* (DIM) in implementing this project (*DIM Authorization attached*).

While implementing this DIM project, the CO will recover implementation support costs as follows:
Direct UNDP Country office Support Services to the Programme Implementation

Since UNDP is an Implementing Agency of the project, it will be providing the direct support services for this DIM project activities:

   (a) Identification and/or recruitment and solution of administrative issues related to the project personnel;
   (b) Procurement of commodities, labor and services;
   (c) Identification and facilitation of training activities, seminars and workshops;
   (d) Financial monitoring and reporting;
   (e) Processing of direct payments;
   (f) Supervision of project implementation, monitoring and assistance in project assessment.

When providing the above support services, the UNDP Country Office will recover the costs for providing Implementation Support Services on the basis of actual costs and transaction fee based on the latest Universal Price List.

The procurement of goods and services and the recruitment of project personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures.

The relevant provisions of the Standard Basic Assistance Agreement (SBAA) between the Government of Uzbekistan and the UNDP, signed by Parties on *10th June 1993*, including the provisions on liability and privileges and immunities, shall apply to the provision of such support services.

UNDP shall retain overall responsibility for this directly managed project.

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

Terms of Reference of the personnel recruited within the project cycle will be agreed upon and finalized as per the need arises and included as an attachment to this project document.

X.   ANNEXES

1. **Risk Analysis:**
   https://intranet.undp.org/sites/UZB/SitePages/RisksLogV3.aspx?year=2016
2. **Capacity Assessment**
3. **Project Board Terms of Reference and TORs of key management positions**
4. **RM Strategy**