

Climate change  
investment through  
the Pilot Programme  
for Climate Resilience  
in Tajikistan



“A new global climate fund needs to have fair and equitable governance. It needs to be transparent. And it needs to give communities, who are affected by climate change, decision-making power”

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This paper was written by staff of Oxfam GB in Tajikistan, based on research by Svetlana Jumaeva, of the Centre for Climate Change and Disaster Reduction, Tajikistan.

*The quote on the front page comes from Phil Ireland's Blog – part of Oxfam Australia's [UN Climate Tracker](#) project.*

# Glossary of Abbreviations

ADB	Asian Development Bank
AIDS	Acquired Immune Deficiency Syndrome
AoS	Academy of Sciences
CBO	Community Based Organisation
CCA	Climate Change Adaptation
CCDR	Centre for Climate Change and Disaster Reduction
CIF	Climate Investment Fund
CSO	Civil Society Organization
DFID	Department for International Development (UK)
EBRD	European Bank for Reconstruction and Development
FAO	Food and Agriculture Organisation
GDP	Gross Domestic Product
GoT	Government of Tajikistan
GTZ	German Technical Cooperation
IFC	International Finance Corporation
INGO	International Non-Governmental Organization
JICA	Japan International Cooperation Agency
JM	Joint Mission
MDB	Multilateral Development Bank
MSDSP	Mountain Society Development Support Programme
NAPA	National Adaptation Program for Action
NGO	Non-Government Organization
OSCE	Organization for Security and Cooperation in Europe
PPCR	Pilot Program for Climate Resilience
PRSP	Poverty Reduction Strategy Paper
SCF	Strategic Climate Fund
SDC	Swiss Agency for Development and Cooperation
SPCR	Strategic Program for Climate Resilience
TJ	Tajikistan
UK	United Kingdom
UNDP	United Nations Development Programme
UNEP	United Nations Environment Program
UNFCCC	United Nations Framework Convention on Climate Change
USD	United States Dollars
WB	World Bank
WHO	World Health Organization

# Executive Summary

Tajikistan is a poor country with limited industry, significant energy production from hydropower, and a low carbon footprint. Poverty in Tajikistan is predominantly found in rural areas, and is increasingly feminised as significant numbers of men migrate to other countries for work. The mountainous terrain of Tajikistan leaves many of its population reliant on marginal land for their livelihoods and thus vulnerable to climate change.

In this context PPCR is a welcome initiative that transfers resources to address climate vulnerability. However, PPCR needs to be linked to development strategies and strategic choices in investment need to be pro poor, gender sensitive and reflect the voices of those who are affected the most by climate change. This requires a broad based participation in deciding and monitoring the PPCR investment that will not only enhance accountability, but will also deliver better quality, pro poor and context relevant choices.

This report recommends that PPCR and other climate change investment should

- Address the needs of those most vulnerable to climate change.
- Support the Government of Tajikistan as primary actor for ownership of PPCR programmes and channelling of resources.
  - Guarantee meaningful participation for civil society and communities throughout the process of planning and implementing climate funding
  - Ensure that gender equality and women's participation are central to climate funding
  - Build capacity of government and civil society staff to accompany climate funding
  - Ensure climate funding processes are transparent and accountable to the people of Tajikistan
  - Utilise existing models and experience in climate change adaptation at the household and community levels.

# Introduction

This report presents the results of a qualitative study undertaken to analyze the ongoing PPCR process in Tajikistan and to outline lessons learned and relevant recommendations for channelling climate change adaptation funds in the context of Tajikistan. The study is based on a series of interviews and focus group discussions with relevant stakeholders: government officials, academics, development partners, representatives of MDBs and bi-lateral agencies, civil society and international organizations.

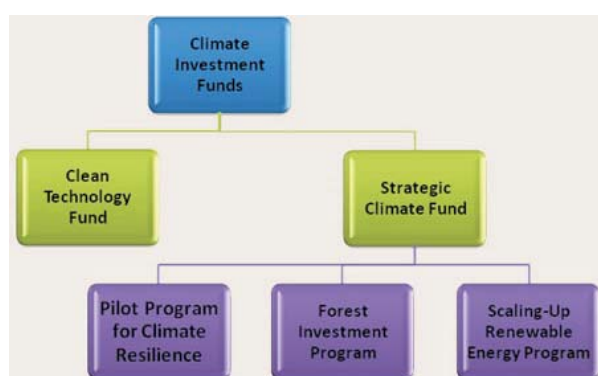


Figure 1. Structure of CIF  
<http://www.climateinvestmentfunds.org/cif/designprocess>

It has been commissioned by Oxfam International as part of a global initiative looking at impacts of different climate change investments in seven<sup>1</sup> countries around the world.

## Pilot Program for Climate Resilience

The Climate Investment Funds (CIFs) are financing instruments designed to pilot low-carbon and climate-resilient development through the multilateral development banks (MDBs) under the UN Framework Convention on Climate Change (UNFCCC). Their secretariat is at the World Bank and funds come from a range of donor countries. The two funds under the CIFs are the Clean Technology Fund (CTF) and the Strategic Climate Fund (SCF). The SCF consists of three programmes to pilot new approaches to climate action: the Pilot Program for Climate Resilience (PPCR), the Forest Investment Program (FIP) and

the Program for Scaling up Renewable Energy in Low Income Countries (SREP)<sup>2</sup>.

The governance and organizational structure of CIF's two Trust Funds, the Clean Technology Fund (CTF) and the Strategic Climate Fund (SCF), include a Trust Fund Committee, a Partnership Forum, an MDB Committee, an Administrative Unit and a Trustee. The Administrative Unit, MDB Committee and Trustee are shared by both trust funds. Each fund has its own Trust Fund Committee, and the SCF designates sub-committees to govern each of the targeted programs. Each Trust Fund Committee and Sub-Committee is composed of equal representation by contributor countries and recipient countries. CIF stakeholders include the Multilateral Development Banks, UN and UN agencies, Global Environment Facility (GEF), the signatories of the UNFCCC, Adaptation Fund, Bilateral Development Agencies, representatives of Non-Governmental Organizations, representatives of indigenous peoples, Private Sector Entities, and scientific and technical experts<sup>3</sup>.

The goal of the PPCR is to help countries transform to a climate resilient development path, consistent with national poverty reduction and sustainable development goals.

The following nine countries and two regions have been invited to participate in the PPCR: Bangladesh, Bolivia, Cambodia, Mozambique, Nepal, Niger, Tajikistan, Yemen and Zambia, and the Pacific and Caribbean regions. The criteria for participation in the PPCR included the level of vulnerability to climate change hazards and risks, country preparedness to move towards climate resilient development plans, and country distribution across regions and types of hazards. As of October 2010, total funds deposited ('funds held in Trust') for the PPCR amounted to USD 340



million, and pledged sums amounted to a further USD 972 million. Of this total, USD 614 million of the pledges are grant resources and USD 358 million (the pledge from the UK) are to be used as concessional finance<sup>4</sup>. Funds have come from the governments of the UK, USA, Japan Norway, Germany, Denmark, Canada and Australia.

Based on PPCR guidelines, financing is provided in two phases. For the short-term, first phase over 12-18 months, to prepare climate resilient programs and for the second phase, implementation of programs, for 3-5 years (annex 1).

At the foundation of the Climate Investment Funds in 2008, a ‘sunset clause’ was agreed that enables closure of these funds once a new financial architecture has become effective under the UNFCCC regime. At the recent COP16 meeting in Cancun, a decision was made to create a new ‘Green Climate Fund’ that will be managed by a board with representation from both developed and developing nations. Oxfam believes that this decision should now activate the ‘sunset clause’ and trigger a transition from the PPCR to funding through the new Climate Fund.



## Vulnerability to climate change



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Women are the linchpins of societies. Women are the key providers for the family, and raise the children, care for the old and the sick. As a result, they are on the front lines of the devastating effects of climate change, and largely define the community's ability to adapt or recover from a disaster. Women regularly do the jobs, such as cultivating crops, and collecting water and fuel, which are most affected by climate change.

Women are disproportionately represented among the poor in Tajikistan, for several reasons significant amongst them is the high level of male migration for work to other parts of the former Soviet Union which creates large numbers of de facto women headed households. The feminisation of poverty also relates to changing attitudes towards women in society and the impact that has on their level of access to education, to paid employment and to a say in their communities. There are few wage earning opportunities in rural Tajikistan which drives men to migrate and leaves women heading households and dependent on remittance income from male relatives. That income is often unreliable and may dry up entirely – which leaves women with only small holder farming on household plots to provide a livelihood. Families in rural areas of Tajikistan frequently have high numbers of children, which further exacerbates issues of poverty and the workload on women. Women and girls tend to be withdrawn from education earlier than men and boys, leading to lower educational qualifications and thus fewer

opportunities. Financial dependency on husbands and limitations on activity within the family are considered as “natural” conditions in the frame of local social male-female relationships.

Tajikistan is a mountainous country and less than seven percent of the land is arable, however around two thirds of the population depends on agriculture for a livelihood – largely producing food for their own consumption and, to some extent, for sale in markets<sup>10</sup>. The decree of the Government of the Republic of Tajikistan “About changes and additions to the state programme main directions of the State Policy to ensure equal rights and opportunities for men and women in the Republic of Tajikistan for the years 2001-2010” says: “The current status of women in Tajikistan contains limitations, in comparison with that of men, in various spheres of socio-economic life, including labour opportunities, property and land rights, etc<sup>11</sup>. Although in recent years the government has paid some attention to the problem of equal access to resources for men and women, gender stereotypes still negatively affect womens’ advancement and efforts to overcome gender inequality. Changing cultural and social norms regarding male and female roles is a complex task and requires both time and purposeful actions by the state and by civil society. Women often struggle to get their voices heard in the climate debate. Given their central role in the family and community, women have invaluable knowledge



Photo credits: Oxfam GB



about creating and implementing innovative ways to adapt to a changing climate yet their opinions and experience is all too often overlooked.

Further development of the agricultural sector is hampered by low producer incentives, distorted markets, environmental threats, and a sometimes obstructive legal and taxation environment. People in Tajikistan are resilient when faced with difficulties and adept at taking advantage of good weather, as the 2009-cropping season showed. Timely and well-distributed rainfall, improved seeds, and wider use of fertilizer all contributed to this improvement according to the FAO. But challenges posed by climate change already strain their capacity to cope and may overwhelm it if temperatures continue to rise. Tajikistan,

according to a recent World Bank report,<sup>12</sup> is the most vulnerable country in the region to climate change and has the least capacity to adapt. Adaptive capacity is the ability of a system to adjust to climate change, including climate variability and extremes, in order to moderate potential damages, to take advantage of opportunities, or to cope with the consequences<sup>13</sup>.

# The PPCR process in Tajikistan

Tajikistan was nominated to participate in the Pilot Program for Climate Resilience (PPCR) by the PPCR Expert Group in January 2009, and based on this invitation the Government of the Republic of Tajikistan confirmed its interest and willingness to participate in the PPCR in May 2009<sup>14</sup>.

The PPCR Government lead is the Deputy Prime Minister and the PPCR Focal Point is the Deputy Head of the Department for Environment Protection and Emergency Situations under the Executive Office of the President. Implementation support is provided by the State Organization for Hydrometeorology, the Committee for Environment Protection, the Ministry of Energy and Industry, the Ministry of Agriculture, and the Ministry of Land Reclamation and Water Resources. There was a gap in the role of PPCR focal point and thus in some aspects of leadership on climate change for Tajikistan, from a government reshuffle in April 2010 until a new appointee was put in post in August 2010.

## **Key milestones in the Tajikistan PPCR process**

### **First Joint Mission, October 2009.**

The first PPCR Joint Mission took place in October 2009, led by four International Financial Institutions WB, ADB, IFC and EBRD. The visit also engaged DFID, SDC and UNDP. A workshop was organised and a limited list of stakeholders (see annex 14) was invited to discuss the climate vulnerabilities and priorities areas for the PPCR.

Mission outcome: A mission report outlining the potential priority areas, detailed activities and next steps was agreed between the Government and MDBs for further consideration under the PPCR (annex 2 – First mission report). Key potential themes identified:

#### Country-level actions

- Strengthening the capacity of the country to produce and utilize better climate data and climate science;

- Enhancing the institutional structures to manage inter-sectoral climate risks;
- Building stronger linkages between poverty reduction, human development and climate resilience goals.

#### Sector-level actions

- Reducing the vulnerability of the energy sector to climate variability and change;
- Strengthening country capacity to deal with climate-related disasters;
- Building resilience of the agricultural sector and rural economy to reduce its vulnerability to climate change threats;
- Assessing the vulnerability of road infrastructure

#### Project level actions

- Advancing screening of projects to assess climate risks, and piloting transformational approaches to increase climate resilience to support longer-term sustainability of existing and future investments
- Integrating local knowledge and adaptation initiatives into project design and implementation practices

#### Local and community level actions

- Ensuring consideration of the needs and participation of vulnerable groups, particularly the rural poor, women, children and minority groups

### **Mid-Term Multilateral Development Bank Mission, March 2010.**

A mid-term Joint Mission was held in March 2010 – with WB, ADB and EBRD taking part. In addition to a series of meetings with Government stakeholders, there was a one day workshop to hear the views of others on the activities proposed for grant assistance, with invited government and non-government experts (See annex 14), as well as meetings with selected international organisations, bilateral donors and civil society organisations.

Mission outcome: A full draft Phase I grant application was developed. The proposal included the recommended activities (mission report contained in Annex 4).

- Institutional analysis and capacity needs for climate resilience
- Tajikistan Climate Science and Modelling Partnership
- Awareness-Raising on climate change
- Enhancing the Climate Resilience of Tajikistan's Energy Sector
- Analysis of Sustainable Land Management Approaches for Changing Climatic Conditions in Tajikistan
- Analysis of River Basin Approach to Climate Resilience and ecosystem based strategy

#### **Mission June 2010**

This interim mission was carried out by the MDBs in order to work specifically with Government, key national institutions and selected ministries on the SPCR document.

#### Mission outcome:

The MDBs and the Government made progress on development of the SPCR proposal.

#### **Second Joint Mission, October 2010.**

A second Joint Mission was conducted in October 2010 by the Government and the MDBs. Another one day stakeholder workshop (See annex 14 for attendees), was held at the end of the visit to seek feedback and to discuss the proposed SPCR.

#### Mission outcome:

A final draft of the SPCR request for USD50 million was completed for government review, and a coordination structure within the Tajik Government, including engagement with civil society and other stakeholders, was developed.

The SPCR was endorsed by the government at the beginning of November 2010 and approved by the PPCR Sub-Committee in November 2010 in Washington.

#### **Administration of PPCR/SPCR**

The World Bank, ADB and EBRD facilitated the PPCR process and DFID supported technical assistance for development of the SPCR through consultants from the international consulting firm AEA who were based in Tajikistan in the office of the State Administration for Hydrometeorology. The MDBs provided short term experts from relevant areas to support the design process.

Proposals for PPCR funding were prepared jointly by the government and the relevant MDBs, although MDB staff interviewed suggested that the lack of capacity within government meant that much of the work was done by MDB staff and consultants. The Phase I proposal was developed to support the country to develop a Strategic Programme for Climate Resilience (SPCR), including technical assistance to prepare an underlying investment programme. Phase II was developed to provide financing for implementing the SPCR. To date the PPCR Sub-Committee has approved allocation of PPCR funding for Phase I (June 2010) and Phase II (November 2010) for Tajikistan.

The PPCR financing in Tajikistan is administered through the following multilateral development banks (MDBs): WB, ADB, EBRD with WB leading the coordination between MDBs and the Government. The lead coordinators for the Tajik PPCR process are based at the headquarters of the relevant MDBs in Washington, Manila and London, and not in their country offices in Tajikistan. In the Government of Tajikistan the PPCR Focal point is the Deputy Head, Department for Environment Protection and Emergency Situations under the Executive Office of the President.

### Phase I activities and implementers

The PPCR work in Phase I covers the following six projects to take place over 12-18 months:

Table 1. Phase I activities

Activity	Implementer	Duration	Amount from PPCR
A.1. Review of Tajikistan's climate change institutional arrangements and capacity needs (Additionally DFID financed and managed the AEA consulting team for elaboration of the SPCR.)	WB lead under grant arrangement with UNDP	October 2010 to October 2011 (12 months)	\$150,000
A.2. Tajikistan's Climate Science and Impact Modelling Partnership	ADB lead	October 2010 to July 2011 (9 months)	\$350,000
A.3. Raising awareness of climate change in Tajikistan	WB lead under grant arrangement with UNDP	October 2010 to December 2011 (14 months)	\$125,000
A.4. Identifying options for enhancing the climate resilience of Tajikistan's energy sector	EBRD lead	September 2010 to May 2011 (9 months)	\$300,000
A.5. Analysis of sustainable land management approaches for changing climatic conditions in Tajikistan	WB lead	December 2010 to July 2011 (7 months)	\$200,000
A.6. Analysis of river basin approaches to climate resilience	ADB lead	October 2010 to July 2011 (9 months)	\$400,000



## Phase II – SPCR implementation (projects and implementers)

Table 2. SPCR investments Phase II

Project Title	MDB	Requested PPCR Amount (\$)	Financing Modality	Expected Co-Financing (\$)	Source(s) of co-financing	MDB Fee from PPCR (\$)	Total project budget (\$)
Building Capacity for Climate Resilience	ADB	\$3 M	Grant	TBD	TBD	\$400K	\$3.4 M
Improvement of Weather, Climate and Hydrological Service Delivery	WB	\$7 M	Grant	\$6M grant \$1M	WB-IDA Government	\$400K	\$14.4 M
Climate Science and Modelling Programme	ADB	\$3 M	Grant	TBD	TBD	\$300K	\$3.3 M
Enhancing the Climate Resilience of the Energy Sector	EBRD	\$10 M	Grant	\$30 m loan, \$15 m loan, €15 m grant.	EBRD EBI EC	\$350K	\$70.35M
Agriculture and Sustainable Land Management	WB	\$9.45 M	Grant	TBD	TBD	\$400K	\$9.85 M
Building Climate Resilience in the Pyanj River Basin	ADB	\$15.3M	Grant	TBD	TBD	\$400K	\$15.7 M
<b>TOTALS</b>		<b>\$47.75 M</b>		<b>\$67 M to date</b>		<b>\$2.25 M</b>	<b>\$117 M</b>

Note that ADB will provide interim financing for the initial establishment of the PPCR Secretariat.

# Perspectives on PPCR



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This section of the report summarises the range of views gathered through stakeholder interviews about the PPCR process and decisions. A full list of stakeholders who were interviewed for this research is contained in Annex 13.

## Stakeholder participation and involvement

The issue of participation and involvement of stakeholders in the PPCR process was much discussed by those interviewed for this research.

The MDBs representatives (WB, ADB, and EBRD) highlighted that the MDBs had to actively lead the process due to limited capacities of the national institutions and the reshuffle of Government jobs that left the role of Government Climate Change Lead vacant for several months at a crucial time in the process. The WB representatives did acknowledge the limited time given to broad consultations; however they pointed out that during Joint Missions there were field visits conducted to projects supported by MDBs to talk to community members and households. The MDBs highlighted that one of the challenges in the PPCR process is to manage the expectations of stakeholders who expect the PPCR to address all of the climate change challenges facing Tajikistan. The PPCR is a pilot programme intended to demonstrate the potential for action and change; it is not a totally comprehensive solution and it does not have the resources to meet all needs.

The government representative on PPCR pointed out that now it requires building its internal capacity and gain experience to address the issue of climate change adaptation more effectively.

Many ministries will require support to engage deeper in learning about of climate change and its impact on Tajikistan. There were several line ministries and government agencies involved in the design of the PPCR, however a lack of experience in these issues resulted in a limited input from those organizations.

No focal points from individual ministries were appointed to follow up on the PPCR process. Government commentators expressed concern that the number of Tajik experts involved in development of PPCR/SPCR was very limited, whilst significant funds were allocated to cover the costs and fees of visiting international experts.

The government representative stated that the government has a key role in coordination and liaison with stakeholders and this will be realized through the PPCR Secretariat.

Civil society groups, including the Tajikistan Climate Network of local NGOs, highlighted the lack of broader stakeholder consultation processes. They pointed out that consultation only occurred during the three short Joint Missions, with no attempt to engage in debate and consultation between those events, and no in-country focal point for PPCR amongst the MDBs.



Photo credits: Oxfam GB

During Joint Missions, time was very tight and consultation meetings were limited to one day workshops with limited scope for influencing the outcomes of the mission.

At a Climate Change Conference, organized in October 2010, in Dushanbe by local NGOs with support from Christian Aid, Oxfam and OSCE, the concerns of Civil Society Organizations were documented and recommendations provided for PPCR/SPCR (Annex 11).

The local NGOs highlighted positive aspects in cooperation with MDBs, particularly the inclusion of the steering group with civil society representation in the coordination mechanism of PPCR, however they raised concerns over poor cooperation between MDBs and civil society organizations. They highlighted that the CSOs were not actively involved in development of Phase I and were invited late to consultation meetings. Only a limited number of Tajik NGOs were invited to workshops and their involvement had a rather formal character (participation in two seminars) since they had no prior access to the plans and documentation that would have allowed them to introduce constructive proposals and comments to Phase I.

Another concern raised was that there is limited access to the PPCR lead staff, to information and to documents in local languages. Those leading



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the PPCR process for Tajikistan from WB/ADB/EBRD are based at their headquarters in other countries; this limits civil society, especially Tajik organisations, communities and institutions, from opportunities to access information or to lobby for influence on PPCR implementation.

Representatives of the Academy of Sciences of Tajikistan pointed out that few members of academic institutions were invited to the PPCR workshops and those that did attend did so without prior consultations and without relevant PPCR documents having been shared ahead of the meetings.

International NGOs also added that stakeholders consulted were limited to government agencies, donors and a short list of NGOs and so did not reach out to include marginalized groups or community based organizations that could represent them. In particular, women food producers as a key vulnerable group were not engaged in the design of Tajikistan’s PPCR programme.



Photo credits: Oxfam GB

The Civil Society observer from Action Aid<sup>15</sup> in the Sub-Committee in Washington outlined in her recent report that “the PPCR has taken important steps towards transparency with its observer policy, which provides for four civil society representatives (including one representative from a developed country and one representative each from Africa, Asia and Latin America), two

indigenous people's representatives, two private sector representatives and one representative from a community dependent on adaptation approaches to secure livelihoods. However the PPCR and the World Bank were heavily criticized for not involving civil society and community members at the inception of the PPCR, meaning that the voices and perspectives of affected communities were not considered at the critical design stage.

The World Bank undertook a review of progress in PPCR countries, including Tajikistan, in September 2010; however the report has not been made public.

#### Decisions made and projects selected.

Stakeholders interviewed in this research made a range of comments and critiques of the projects chosen for phase I and II of the PPCR programme in Tajikistan. The planning timeline of the project was truncated such that the first phase was not completed (or in some instances even started) before decisions were made about the second phase.

According to the ADB representative the Phase II activities outlined in the SPCR document provide the opportunity to leverage additional financial resources for additional climate change adaptation investments in Tajikistan.

They see PPCR as a whole as an opportunity to embed climate change in development investments, and development priorities at the macro (GoT) and micro (community/civil society) levels across the country, to ensure a more sustainable and resilient development pathway. EBRD has been most successful at leveraging additional financing through the PPCR funds, having already secured an additional USD60 million in loans and grants from EC, EBI and EBRD themselves.

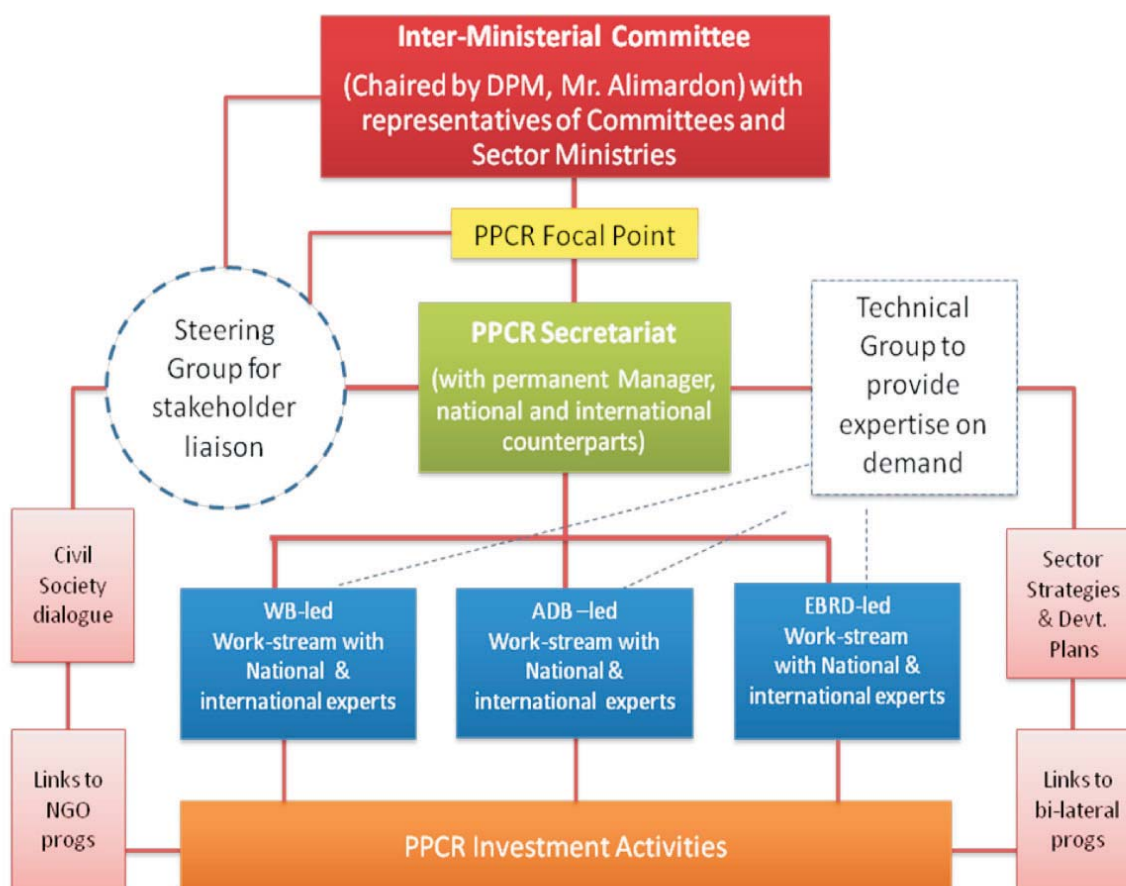
The representative of the Swiss bi-lateral development agency SDC pointed out that the PPCR process could have been more inclusive of the needs of vulnerable groups had it included elements of replication and dissemination of existing good practices developed in Tajikistan by different organizations and in different regions. This opinion was confirmed by international and local NGO's. Information on field tested, climate change adaptive approaches in agriculture, water, energy efficiency, disaster reduction etc was shared by a wide range of international and local NGOs – including Oxfam, FOCUS, Ecocentre, Little Earth, CCDR, and the Association of Dehkan (peasant) Farms.



## Governance of PPCR in Tajikistan

As the PPCR is implemented in Tajikistan, there will be a need for that process to be managed, monitored and evaluated. There are some stated plans within the SPCR document, but many aspects that still need to be detailed. This research has exposed a number of views.

**Figure 4.** PPCR Management structure in Tajikistan



The structure proposed by the SPCR document is focused mainly around PPCR implementation and will be led by ADB. According to an ADB representative the PPCR Secretariat will provide overall coordination of PPCR activities in Tajikistan and ensure effective communication with a broad range of stakeholders.

Roles and responsibilities of the PPCR Secretariat include: 1) provide program oversight and inter-agency coordination, 2) ensure sustained stakeholder engagement, 3) facilitate dialogue and standardized reporting/lessons learned, 4) design

customized training and knowledge products, and 5) be responsible for results-oriented project management and monitoring. ADB will provide bridging finance to fast start the PPCR Secretariat in 2010. The Secretariat will be subsequently funded with the capacity building component of the Phase II grant.

The PPCR Secretariat will play a key role in the establishment of other coordination mechanisms, including a Steering Group. This is intended to provide a forum for discussion and guidance to PPCR activities, as well as ensure the

outcomes of the PPCR activities are meaningful and meet the needs of the targeted groups on the ground. The Steering Group composition will be defined in consultation with government and other development partners and could include representatives of NGOs, civil society, academia, MDBs, national agencies and international organisations. However, membership is yet to be defined and there is no formal agreement within PPCR that representation will be widespread.

Both Tajik and international NGOs expressed a strong desire that civil society be represented in that steering group, with defined rights to vote on decisions.

#### Significant gaps in PPCR project choices

Commentators from a number of international NGOs, UN agencies, donors and academia pointed out a several gaps that they perceived in the PPCR analysis and selected programme.

WHO and others sought unsuccessfully to lobby for the inclusion of the health sector in PPCR projects. In consultation meetings for the PPCR, they pointed out the impact of climate change on health infrastructure and cited projects they are carrying out analyzing climate change impacts on water and energy for rural hospitals.

GTZ raised concerns that the forestry sector is not considered in the PPCR activities and that lessons learned through successful bilateral projects in Tajikistan might be overlooked. During the PPCR second joint mission consultation meeting some of the lessons learned from the GTZ Forest Management Project in Tajikistan were highlighted and GTZ expressed readiness to replicate their experience in other regions as reforestation is a key element of adaptation to climate change.

A number of organizations questioned the focus within the energy sector on large scale hydropower infrastructure instead of small scale hydropower and other renewable energy sources in rural areas.

Focus Humanitarian, an INGO affiliated to the Aga Khan Development Network, highlighted that vulnerabilities and risks of the “highland” communities as well as the “lowland” need to be included. Focus shared their experience from the Remote Hazard Assessment Projects in the Pamirs and Zaravshan valley on developing the capacities of local communities to manage the risks they face. The idea was shared with ADB for consideration.

The Academy of Sciences of Tajikistan felt that some of their work had not been taken into consideration by the PPCR process, for example the study of renewable sources of energy in Tajikistan. The Academy of Sciences with its partners, such as the Mountain Societies Development Support Programme of the Aga Khan Foundation, have already piloted some projects on solar energy, wind power, and biogas in different regions of Tajikistan and already has initial results that could be built upon.

Several local livelihoods based NGO’s at the October 2010 Dushanbe Climate Conference suggested that another significant gap was the current lack of an effective insurance mechanism in the agricultural sector that could allow farmers to mitigate the financial risks of climate related crop failure.

Of all of the gaps identified by commentators to this research, the one that was raised most consistently was the issue of gender. It was felt by a range of commentators from UN, civil society and donor organizations that the PPCR analysis lacked sufficient gender analysis and that the chosen projects have not, so far, been designed to

take account of the different needs of women and men in relation to climate change.

#### Opportunities to adapt SPCR plans

Not all of the projects identified in the SPCR document are planned in detail, and that provides opportunity to engage more with a broader group of stakeholders, in particular with communities, with farmers and with women.

According to the PPCR procedures, the detailed concept notes for the identified priority areas of the SPCR should be elaborated after the Phase I results are known, however most of the activities of Phase I and Phase II overlap. This

gives a limited timeframe, but clear opportunity, to address concerns regarding the needs of vulnerable and marginalised groups, such as women farmers and food producers, and to propose specific measures under the following three priority areas of SPCR:

(1) Review of Tajikistan's climate change institutional arrangements and capacity building needs (WB lead under Grant arrangement with UNDP).

(2) Analysis of sustainable land management approaches for changing climatic conditions in Tajikistan (WB lead),

(3) Analysis of river basin approaches to climate resilience (ADB lead).





# Proposed approaches to adaptation finance and monitoring and evaluation frameworks, including design recommendations

The PPCR process has faced high expectations from a wide range of interested parties and could not hope to meet all of them. Thus far in Tajikistan, PPCR decisions have been largely made by staff of MDBs, with insufficient consultation with those who will be most affected by climate change. PPCR could have provided, and still should provide, a real opportunity to pilot ways of reaching those most impacted by climate change in ways that could radically improve their quality of life.

At the COP16 meeting in Cancun, a decision was made to move forwards with climate change investments through a Green Climate Fund under the Conference of the Parties (COP), managed by a board with equal representation from developed and developing countries. The PPCR process offers an opportunity for learning that should influence the design of that fund through demonstrating effective, participative and transparent approaches. The Pilot Programme for Climate Resilience (PPCR) should be wound up on completion of the first round of focus country funding, with lessons learned transferred to the new Global Climate Fund. This is in line with the sunset clause established when the funds were set up<sup>16</sup>.

## **PPCR funded projects should address the needs of those most vulnerable to climate change**

The mechanisms and processes for channelling the adaptation funds should include the marginalized and most vulnerable communities, particularly women and small scale food producers. This requires a re-orientation of the SPCR and of individual projects towards more benefits for rural small food producers. As such areas of intervention that could be supported through climate change investments include:

- research to improve the scenario of climate change impacts on various aspects of farming,

pastures, water management and the socio economic situation of poor rural women, men and children.

- strengthening partnerships for research and development in the region, with participation of women and men farmers, local NGOs, private sector and academia.
- improvement of access to weather forecasts and mechanisms of delivery of forecast information and interpretation to women and men farmers and rural communities.
- development and dissemination of existing good practices on community adaptation to climate change.
- piloting and rolling out of adaptive approaches in conservation agriculture, pasture management, and water and energy efficiency that will help women and men in vulnerable communities to adapt to changing climatic and environmental conditions.
- capacity building in conservation agriculture, energy conservation, and community based disaster risk reduction.
- small and large scale farm water management (terracing and mulching, drip irrigation etc).
- provision of access to new crop types and new crop varieties that are adapted to different



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climatic conditions, particularly for remote communities.

- development of capacities and skills in government on attracting, applying for and using new sources of climate change investment funding.

### **Support the Government of Tajikistan as primary actor for ownership of PPCR programmes and channelling of resources**

The Government of Tajikistan should be the primary actor in designing, implementing, and channeling resources for national climate change adaptation strategies. One lead agency within the Government should have the authority and functionality to develop the national strategic framework on adaptation, oversee implementation, and coordinate financial resources. This lead agency, should work with all relevant ministries and departments, including those representing the needs of women. A Tajikistan national climate change adaptation strategy should be further developed and aligned with the national development and poverty strategies. PPCR funding should contribute to capacity building of government staff so that they are able to take leadership roles on climate change investment for the country.

### **Civil society and communities should be guaranteed meaningful participation throughout the process of planning and implementing climate funding**

Civil society, and particularly organisations representing those most vulnerable to climate changes, should be able to fully engage and functionally participate in the development and implementation of adaptation strategies and decisions about adaptation funding, such that funding decisions integrate their needs and interests.



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In order to facilitate community involvement and empowerment within the PPCR process, CSOs, communities, households, and both men and women farmers need to understand the concepts and practical application of climate

change adaptation measures and the mechanisms by which they could be financially supported. As women headed households that rely on small land plots for their livelihoods have been identified as particularly vulnerable to climate change in Tajikistan, mechanisms that allow for their representation in the PPCR projects and monitoring should be explored.

### **Gender equality and women's participation should be central to climate funding**

Across the world, climate change will most severely affect the poorest and those with limited capacities to adapt and mitigate negative impacts. In Tajikistan, as in many other places, women are disproportionately represented in the poorest segment of society. Climate investments in Tajikistan must be based around a thorough gender assessment that examines the different impacts of climate change on women and on men, and that guides investments that can address the needs of both.

### **Capacity-building should accompany climate funding**

Resources need to be set aside for capacity-building, which should be provided rapidly, up-front, and sustained throughout the process. Capacity building is needed across ministries of the Government of Tajikistan, for local government leaders, and for civil society and community groups. The capacity-building strategy should mirror each investment so that it is in line with responsibilities and enables accountability. Capacity building aims should span technical competencies and “softer” capacities such as engagement and leadership skills. Building capacity at the national level will also enhance national ownership, by not relying heavily on international technical assistance often imposed by donors and MDBs, and by cutting the high costs of international consultancies.

### **Climate funding processes should be transparent and accountable to the people of Tajikistan**

The government and development partners should publicly disclose all documents related to the usage of the PPCR funds and create regular and accessible public reports outlining how funds are allocated. Spending should be clearly disaggregated into measureable components in order to facilitate monitoring.



Photo credits: Oxfam GB

The mandate, membership, resources, and capacity of the oversight and management body, as well as voting rights and conflicts of interest within that body, should be carefully considered. In the proposed steering group of the PPCR secretariat, civil society must be present with full voting rights.

In addition to the proposed PPCR governance and monitoring structure, other accountability structures such as social audits, an independent watchdog bodies, transparent budgets and audits, could be used to ensure accountability to the people of Tajikistan.

The US\$50 million Tajikistan PPCR investment is all in the form of grants. It is important that future climate change financing is also as grants and not as loans.

### **National climate funding approaches should be informed by existing models**

Approaches to climate change funding in Tajikistan should consider elements of existing mechanisms that have been designed to deliver for men and women living in poverty. Such mechanisms exist through agencies of the state and through civil society projects, often with international donor support. Where possible, climate finance modalities should build on existing bodies and structures rather than create new ones. Recipients of funding should be allowed to access resources directly, without the need of intermediary entities.

As PPCR will be the first example of much larger future investments, it is an opportunity for Tajikistan to organize a single, representative body that can plan and monitor investments itself and thus avoid the transaction costs of multiple administration channels, such as the three MDBs.

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# ANNEX 1



# CLIMATE INVESTMENT FUNDS

July 16, 2009

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**PROGRAMMING AND FINANCING MODALITIES FOR THE SCF  
TARGETED PROGRAM, THE PILOT PROGRAM FOR CLIMATE  
RESILIENCE (PPCR)**



## I. PPCR Objectives and Design Elements

1. PPCR aims to help countries transform to a climate resilient development path, consistent with poverty reduction and sustainable development goals. In its nature as a pilot program and supporting learning-by-doing, PPCR implementation ultimately aims to result in an *increased application of knowledge on integration of climate resilience into development*<sup>1</sup>. The PPCR will complement, yet go beyond, currently available adaptation financing in providing finance for *programmatic* approaches to upstream climate resilience in development planning, core development policies, and strategies.

2. Importantly, the PPCR is designed to catalyze a transformational shift from the “business as usual” sector-by-sector and project-by-project approaches to climate resilience. The PPCR will promote a participatory approach towards development of a broad-based strategy to achieving climate resilience at the national level in the medium and long-term. The process will involve a broad range of stakeholders from cross-sectoral government departments, non-government actors, including civil society groups and highly affected communities, and the private sector. The PPCR aims for an equal effort from all development partners to cooperate, engage in dialogue, and align behind this strategic approach as a common platform.

### *PPCR Objectives*

3. The PPCR objectives have been laid out in the PPCR design document (PPCR/SC.1/CRP.1) and are summarized here:

- (a) pilot and demonstrate approaches for integration of climate risk and resilience into development policies and planning<sup>2</sup>;
- (b) strengthen capacities at the national levels to integrate climate resilience into development planning;
- (c) scale-up and leverage climate resilient investment, building on other ongoing initiatives;
- (d) enable learning-by-doing and sharing of lessons at country, regional and global levels.

4. In addition, regional PPCR pilots will aim to strengthen cooperation and capacity at the regional level to integrate climate resilience into national and appropriate regional development planning and processes<sup>3</sup>.

### *PPCR Expected Outcomes*

5. The expected PPCR intermediate outcomes on the program level are<sup>4</sup>:

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<sup>1</sup> See also PPCR Performance Framework.

<sup>2</sup> This could include public and private sector investment planning, as well as approaches to enhance the enabling environment for investments towards climate resilience, such as through regulatory reforms.

<sup>3</sup> See *Guidance Note on PPCR Regional Programs* (April 6, 2009) for details on the regional PPCR pilots, including the aim to strengthen capacities of relevant regional institutions.

- (a) improved integration of climate resilience into planning, processes, and implementation (as appropriate to each country);
- (b) increased consensus on an approach to climate resilient development appropriate to each country;
- (c) increased finance availability (e.g., scaled-up investment commitment) in approaches to climate resilient development;
- (d) enhanced learning and knowledge sharing on integration of climate resilience into development, at the country, regional and international levels.

6. While outcomes 5(a)–(c) above focus on results in the participating countries, outcome 5(d) relates to both country level and the overall aim of PPCR at the global program level.

7. The PPCR is designed to provide lessons over the next few years that can be taken up by countries and regional groupings, the development community, and the future climate change regime, including the UNFCCC’s Adaptation Fund. Underlying principles state that the PPCR should: (a) be country-led and country driven; (b) build on the National Adaptation Programs of Action (NAPAs); (c) complement the existing adaptation funds and be supportive of the emerging operations of the Adaptation Fund; and (d) support actions that are both an outcome of a comprehensive planning process and consistent with the countries’ development and poverty reduction goals.

8. The PPCR program is based on pilot programs to be carried out in a set of selected countries. Following completion of the country selection process, the program will be carried out in two Phases. Phase 1 will initiate a series of tasks in each respective country<sup>5</sup>, including facilitation of a cross-sectoral dialogue process to arrive at a common vision of climate resilience in the medium and long-term, and formulation of a strategic approach for climate resilience. During Phase 1, a *Strategic Program for Climate Resilience*, outlining an underlying investment program, will be developed. Endorsement by the PPCR Sub-Committee (PPCR-SC) of the Strategic Program for further development marks the transition to Phase 2. Phase 2 will focus on implementing the Strategic Program through actions such as support to policy reform, institutional capacity building, and scaling-up other investments in key sectors (see figure 1).

## II. Selection of Pilots

9. The design of the PPCR provides for the appointment of an independent Expert Group to make recommendations to the PPCR-SC on the selection of countries to be financed under the PPCR.

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<sup>4</sup> *Note:* these are anticipated outcomes of the overall program, (including both phases of programming - as explained later in the text); these will be adapted within the design of *specific* country/regional pilots.

<sup>5</sup> The present paper assumes that all programming steps pertaining to a single country pilot are in principle the same for regional pilots, unless otherwise noted. A guidance note for regional pilots has been approved by the PPCR-SC (Guidance Note on PPCR Regional Programs, April 6, 2009).

10. Based on an open and transparent process, the PPCR-SC finalized its selection and appointment of the Expert Group members at its meeting in November 2008. The Expert Group was comprised of eight individuals with scientific, economic, social, environmental, development, policy and/or governance/institutional expertise, as well as climate-related knowledge.

11. At its meeting held in Washington, D.C., in January 2009, on the basis of the recommendations presented by the Expert Group, the PPCR-SC agreed to invite the following eight countries to participate in the PPCR as pilots: Bangladesh, Bolivia, Cambodia, Niger, Mozambique, Nepal, Tajikistan, and Zambia.

12. To ensure that all regions are represented in pilots and to enhance the generation of new knowledge from implementing the PPCR both as individual country programs and as regional programs, the PPCR-SC requested the Expert Group to undertake further analysis of the countries in the Middle East and North Africa (MENA) region and of two regional pilot programs for the Caribbean and the Pacific and to recommend a country from the MENA region to be included in the PPCR and a small cluster of countries to be included in each regional program. At its meeting in May 2009, the PPCR-SC decided to invite Yemen to participate in the PPCR. For the selection of target countries within the Caribbean and the Pacific regions, the Sub-Committee took note of the recommendations of the Expert Group and provided further guidance on the process to be followed for the final selection of the participating countries within the two regional pilots.

13. In all, the PPCR-SC has agreed to include eleven pilot programs: nine individual pilot country programs and two regional pilot programs.

14. The PPCR-SC invited the Expert Group to finalize and consolidate its reports for publication and, as part of this process, to refine further and complete, under the guidance of an ad hoc working group of Sub-Committee members, the analytical work on vulnerability assessment criteria underpinning the Expert Group's recommendations on country selection. In the view of the PPCR-SC, this work will be a particularly valuable PPCR knowledge product and may help inform work in other contexts on frameworks for adaptation financing.

### **III. Phase 1: Development of a Strategic Approach for Climate Resilience**

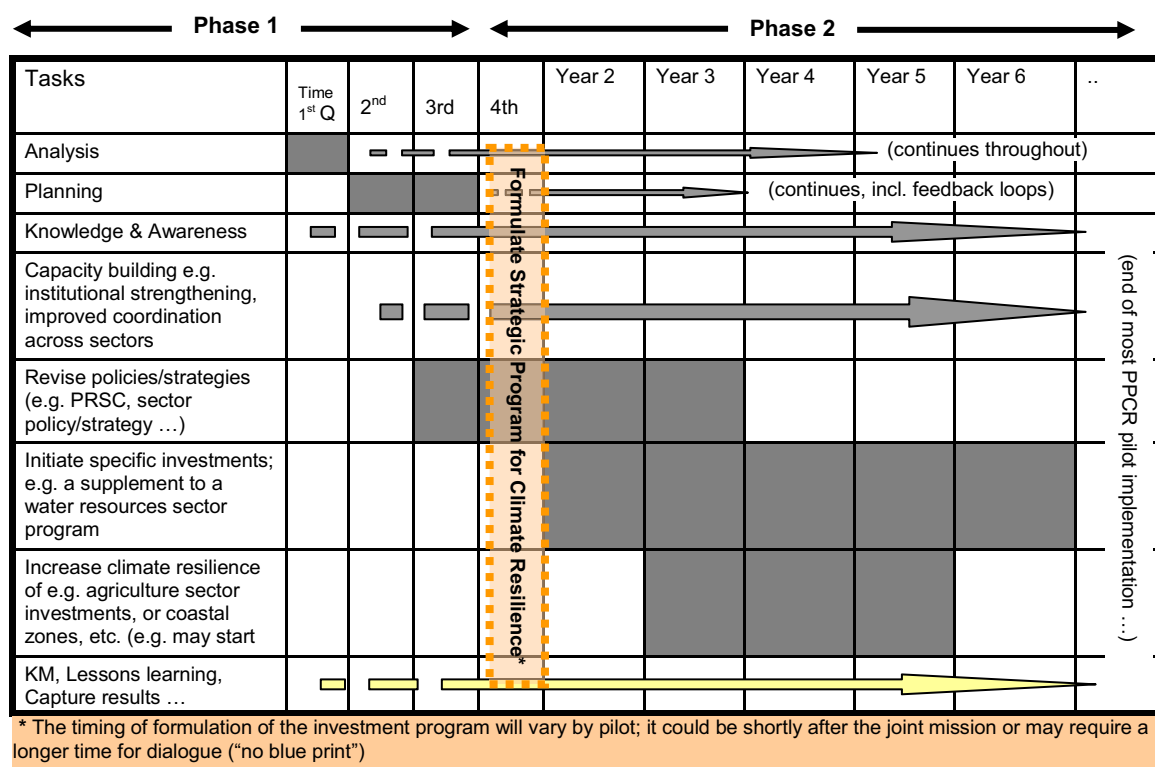
15. The participating countries in the PPCR are at very different stages in addressing climate risks to their development planning and budgeting processes. Therefore, the PPCR process needs to be flexible and in all cases should take account of and build on existing efforts, such as existing climate change and/or adaptation strategies.

16. The time required to complete Phase 1 should respond to country needs and readiness. An indicative range of 3–18 months is suggested, with an understanding that most countries will choose and be able to achieve the aims of this process in less than a year's time (from the time of the joint mission).



17. The key tasks in Phase 1 are outlined in the following sections: (a) initial joint mission; (b) tasks during phase 1; (c) second joint mission; and (d) output of phase 1. It is important to note that extracting lessons learned will be a continuous effort from the beginning of PPCR. Figure 1 below provides an overview of the timing of expected activities.

**Figure 1: Illustrative outline of phase 1 tasks of PPCR and transition to phase 2**



*Initial Joint Mission*

18. An initial joint mission will be organized, led by the government working together with the respective MDBs. Mission preparation will be facilitated by cooperation and collaboration across MDB teams. Development of a PPCR strategic program should be an inclusive process and should serve as a platform for strengthening collaboration with other development partners working in the country. Solid mission pre-work, therefore, is expected to ensure that the joint mission team will be able to involve and consult with a range of stakeholders during the mission, including: relevant government agencies; NGOs, academe and other civil society groups; private sector groups (e.g. through the local business council or directly with strategic players); other country-based development partners, such as UN agencies, bilaterals, and international finance institutions/regional development agencies, carrying out complementary programs.

19. Detailed guidance on the joint mission is set forth in a separate guidance note (*Guidelines for Joint Missions to Design PPCR Pilot Programs (Phase I)*, June 18,

2009). The output of the joint mission should include a proposal detailing a workplan, timeline, and budget for supporting Phase 1 activities leading to the formulation of the *Strategic Program for Climate Resilience* (as outlined in detail in the joint mission guidelines). The government will submit this proposal to the PPCR-SC<sup>6</sup> for approval of the proposed workplan and budget.

20. It is important to emphasize that the PPCR country programs are expected to be implemented through the MDBs alongside their lending and technical assistance portfolio. Hence, it is expected that the proposal for developing the Strategic Program will identify the roles and responsibilities of each MDB, and arrangements for collaboration and coordination with other development partners in supporting the government in the development of the Strategic Program. For the preparation of the Strategic Program, the government may choose to: (a) ask the MDBs concerned to have an equal partnership role in assisting the government, or (b) ask one of the MDBs to assume a lead administrative role to assist in administering the PPCR funds for preparation of the Strategic Program. Other interested development partners may support specific areas of work during Phase 1 through their ongoing program (see Section VI).

#### *Overview of Initial Tasks*

21. The development of the *Strategic Program for Climate Resilience* during Phase 1 will entail a range of tasks, such as: analysis of climate risks, an institutional analysis, knowledge and awareness raising, key capacity building actions, and a consultative planning process to agree on a common vision and strategic approach for climate resilience and to define priority actions and investment needs to implement this approach (see Box 1).

22. The extent and length of Phase 1 tasks is expected to vary among pilot countries depending on previous and ongoing efforts in the respective countries. For example, some countries will have solid information available to assess scenarios and options within key sectors or sub-regions to address climate change impacts. Others will need time to first acquire such information before being able to launch a cross-sectoral dialogue and planning discussion on options to address impacts. Similarly, in countries where the NAPA or a similar process has already created a platform for analytical work and exchange, the process of moving forward should be expedited.

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<sup>6</sup> Through the CIF Administrative Unit

**Box 1: Illustrative range of initial tasks contributing to development of the Strategic Program for Climate Resilience**

While the extent and length of Phase 1 activities will be dependent on country circumstances, the following list provides an illustrative list of possible activities. There should be no duplication of previous efforts, and not all countries will need to address all points, while others may choose to add other activities.

**Analysis of Climate Risks:**

- (a) Using appropriate modeling tools and existing assessments, to identify
  - i. climate risks to key national economic sectors (such as agriculture, hydropower, tourism, etc.); sub-regions within the country (such as coastal zones, glaciers and steep mountain areas, etc.); specifically vulnerable groups, and natural resources and ecosystems.
  - ii. priorities sectors and themes for adaptation interventions based on the analyses obtained above.
- (b) Rapid vulnerability assessments targeting various levels and using a range of approaches.

**Institutional Analysis:**

- (a) Identify and initiate a cross-sector coordination mechanism suitable in the specific country context<sup>7</sup> to support the priority sectors and themes identified above.
- (b) Identify cross-ministerial/sectoral institutional gaps and overlaps, resource needs, recommendations to promote sectoral coordination to promote/build climate resilience.
- (c) Identify gaps, knowledge, and institutional capacities to build climate resilience through participatory processes.
- (d) Assess adequacy or possibilities for strengthening participatory processes.

**Knowledge and Awareness Raising:**

- (a) Disseminate key messages and discuss the outcomes of the analytical studies and institutional gaps and needs analysis with a broad range of stakeholders and through communication channels such as the media and other networks, such as industry associations.

**Capacity Building:**

- (a) Develop relevant capacity building modules to address critical capacity constraints where filling these capacity gaps are prerequisite to a meaningful identification of climate risks and vulnerabilities as well as options for priority actions these should be carried out early on in phase 1 of PPCR (*note: longer term institutional strengthening and support for policy reform and implementation needs are better implemented through a well designed technical assistance program in phase 2. Phase 1 could be used to identify the key elements and agree on implementation mechanisms.*)

**Consultation Process:**

- (a) Ensure a socially inclusive process during consultations to provide inputs from a wide range of actors, such as NGOs and other civil society groups, specifically vulnerable

<sup>7</sup> It will therefore be important that the country-based PPCR process be led by a ministry with a mandate for cross-sectoral coordination, planning, and budgeting.

groups, academe, and the private sector. Specific attention should be given to ensuring that women, youth, indigenous peoples, local communities and other vulnerable social groups are consulted and their views on solutions to climate risks are considered.

- (b) Within government, ensure that the consultation process leads to a common understanding and agreement on a long-term approach to climate resilience.
- (c) As the countries' economies are based on private sector investments, from small farmers to large global companies, the private sector will be a key partner in understanding vulnerabilities and in development of options.
- (d) Ensure that issues raised during consultations are sufficiently addressed in the identification of investment priorities, including assuring donor coordination.
- (e) Conduct regular consultations with relevant stakeholders, identified in a stakeholder analysis, throughout the PPCR process to ensure broad ownership. The Strategic Program for Climate Resilience should be understood as a living document that can benefit from new science and global experience, and local knowledge.

**Definition of Priority Action Needs, including Investments:**

- (a) In conjunction with country stakeholders (including NGOs and other civil society, and private sector) use a participatory approach to develop and prioritize alternative climate resilient development interventions within the identified priority sectors and themes, including the definition of roles of different stakeholders under different options (e.g. public sector, private sector, NGOs). Action needs could include activities that do not necessarily require substantial investments and are within the current scope of activities, such as, redefining of building codes by an association of engineer's, agricultural institutes liaising with ongoing global crop modeling efforts and initiating analysis on agricultural resilience, etc.
- (b) Identify policies, strategies, development plans, and regulations that need to be updated in order to achieve climate resilience (PPCR main entry points will be the countries' development and poverty alleviation plans, while also taking account of previous, ongoing and planned efforts to support climate resilience in the country (including countries' NAPAs)).
- (c) Define key agencies to address risks and long-term coordination structures.
- (d) Identify non-government interventions that need to be addressed in order to adapt to climate change (e.g. the provision of finance to allow private sector stakeholders, such as small businesses, to adopt new technologies or make necessary investments.)
- (e) Discuss division of labor among government, MDBs, and other partners, including the private sector, in terms of finance, implementation and phasing.
- (f) Estimate the notional investment costs and identify co- and parallel finance.
- (g) Develop an overall, high level results framework with key performance indicators to track progress.

23. Framing the main climate risks, impacts and adaptation options will be based on a socially inclusive, broad based consultative process within the country. This will ensure that PPCR supported actions will build on local experiences and reflect the views and needs of a range of stakeholders, including specifically vulnerable groups and sectors (such as small farmers, women, youth, indigenous peoples and local communities, and other vulnerable groups).

24. Capacity building and raising awareness will be part of the initial tasks of Phase 1 especially in those countries where knowledge and awareness of the extent of climate impacts is still limited and cross-sectoral mechanisms for coordination to address the impacts of climate change are weak. A capacity gaps and needs analysis, which is part of PPCR support, should be used to design a longer term comprehensive support program for institutional strengthening and policy reform as part of the Strategic Program implementation. Essential technical assistance work may already be part of support programs by other development partners,<sup>8</sup> in which case PPCR will build on and not duplicate these efforts. Cooperation with other development partners in the design and implementation of the *Strategic Program for Climate Resilience* is outlined in Section VI.

25. While it is realized that mainstreaming climate resilience in development planning will require time and effort to achieve successful high level policy coordination, it is important to stress that the initial tasks in Phase 1 can only *initiate* this process. To be sustainable, cross-sector coordination and institutional strengthening require longer term strengthening processes that should be an important component of the investment program, with other investment implemented in parallel.

26. Actions towards climate resilience on the policy level are necessary, but not sufficient to achieve climate resilience. Therefore, PPCR is designed to deliver financial support for scaled-up investments on the ground. The range of investments will depend on the country context and should be focused on one to three sectors or themes, or could be focused on a key sub-region of the country. This decision needs to be based on a solid analytical and participatory process during Phase 1, including assessment of climate risks on specifically vulnerable groups, natural resources or ecosystems, as well as the private sector (including small farmers). Focus of activities on a limited number of priority actions will lead to higher impact and measurable shifts.

### *Second Mission*

27. A second joint mission should be carried out involving the appropriate MDBs, irrespective of their specific involvement in Phase 1, prior to the submission of the Strategic Program by the government to the PPCR-SC. The mission should involve and cooperate with country-based development partners (including UN agencies, bilateral and other development agencies, and other relevant non-government partners).

28. This mission should serve to finalize the *Strategic Program for Climate Resilience*. The Strategic Program should indicate the MDBs' respective roles, division of labor, and co-finance of components of the investment program through MDB resources and/or other development partners. It should also confirm agreement on cooperation with other partners, including parallel and co-financing of identified priority actions (see Section VI below).

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<sup>8</sup> This may be relevant for other investments besides technical assistance. In all instances these ongoing activities should be part of the strategic approach, while being financed by respective development partners.



29. During the mission the government, together with the MDBs, will convene a meeting of key development partners (including UN and bilateral agencies, country-based NGOs and the private sector) to present the draft of the Strategic Program and solicit final inputs prior to submission. A final draft of the *Strategic Program* will be made available in-country for review and comment at least two weeks prior to submission to the PPCR-SC.

*Phase 1 Output: Strategic Program for Climate Resilience*

30. In summary, the initial tasks within Phase 1 should lead to the formulation of a *Strategic Program for Climate Resilience*. The preparation of the *Strategic Program for Climate Resilience* is a key process towards concretizing the main objective of the PPCR to initiate transformation in the approach to development planning, budgeting, and investments so as to include considerations of climate resilience. The Strategic Program should outline the government's agreed long-term vision to achieve a climate resilient development trajectory and a critical path to get there. This should include consideration of vulnerable economic sectors, specific social groups (including women, youth, indigenous peoples, and local communities), and ecosystems. The Strategic Program will summarize the country driven strategic approach to climate resilience, building on related relevant efforts, and define the underlying investment program proposed for PPCR support.

31. The Strategic Program should also include a range of technical assistance and other investment components to support the implementation of the strategic approach. Activities included in the Strategic Program should:

- (a) be embedded in the broader context of sustainable development and poverty alleviation as elaborated in the Strategic Program, and not a stand-alone design (except on an exceptional basis);
- (b) aim to be ambitious and innovative in their objectives towards climate resilience;
- (c) strengthen collaboration and complementarity with other development partners and seek to identify other sources of financing;
- (d) build on existing efforts supporting climate resilience (including NAPAs), taking care not to duplicate;
- (e) outline how lessons learned will be captured and widely shared; and
- (f) be inclusive through provision of mechanisms to ensure that voices and needs of a wide range of stakeholders are taken into account.

32. The PPCR design recognizes that creating an enabling environment, including integration of climate resilience considerations into development/sectoral planning and strengthened institutions, is essential for successfully responding to climate risks by the public and private sector. Therefore, PPCR will be opportunistically ambitious. For example, in a country where a revision of the PRSP is planned, the PPCR should work within the PRSP revision process and support integration of climate resilience considerations in the revised PRSP.

33. The program will include a performance framework laying out ways to allow the country to measure progress towards achieving the agreed long-term vision. For example, the Strategic Program may include proposed core metrics and/or may outline how the specific indicators for components of the investment program may be aggregated on a national level. These indicators should be captured in the overall PPCR results measurement as outlined in the PPCR Results Framework.

34. Each Strategic Program will vary depending on the participating country and on prior processes on which the country has embarked and to which it can refer, such as existing climate change/adaptation strategies. The goal of Phase 1 is to support a broadly owned process for greater climate resilience and not to produce a lengthy document. See Annex 1 for a proposed outline of overall topics to be addressed in a Strategic Program.

#### *Review and Endorsement of the Strategic Program*

35. The PPCR-SC is to review the Strategic Program and to endorse it as a basis for preparing program and project proposals for additional PPCR financing. In endorsing the Strategic Program, the PPCR-SC should consider the country's vulnerabilities and long term goals for strengthening its climate resilience in light of those vulnerabilities, how and whether the proposed investment program is realistically supporting the mainstreaming of climate resilience in policy environments and whether the scaled-up investments will lead to measureable improvement in climate resilience.

36. Such review should consider the soundness of the process followed in preparing the program as well as the performance framework and metrics to measure progress towards the goals and how progress will be reported over time.

37. A set of structured guidance questions to aid the PPCR-SC in its consideration of a Strategic Program within the specific country context has been developed (see Annex 2).

#### **IV. Phase 2: Implementation of the Strategic Program**

38. Once the Strategic Program has been endorsed by the PPCR-SC and financing approved for program and project preparation, a preparation grant will be made available to the respective participating country to enable detailed preparation of the components of the program. Preparation and implementation of the investment program will follow the respective MDB procedures.

39. An illustrative list of examples of initiatives and actions contributing to climate resilience that could be supported by PPCR is provided in Box 2.

**Box 2: Illustrative examples of possible actions for PPCR support in participating pilots**

Support to technical assistance such as for human capacity building, institutional strengthening, and policy reform processes may be supported. PPCR also provides an opportunity to, for example, add the climate dimension for redesign and addressing climate risk in existing and planned infrastructure for water storage serving water supply, irrigation, flood protection, and/or hydropower production, including for public-private partnerships in such operations.

In general, PPCR supported actions may include a range of activities, such as:

- (a) Engagement of policy-makers and/or other key stakeholders, including economic decision-makers, planners, academia, NGOs and the private sector, in knowledge building activities on climate impact scenarios – including seminars/workshops and other events for the dissemination of applied research findings – to strengthen their understanding of how climate change will affect economic development and growth.
- (b) Analytical capacity and provision of solid information inputs. This could include, establishment or rehabilitation of hydromet networks, flood & drought early warning systems and their linkage to pre-emptive humanitarian responses; and R&D (e.g. research and development of crops that would suit the local characteristics and new climate conditions, benefiting numerous small farmers). This could be through public and/or private actors, supported by grants resources that would cover the additional costs of mainly ‘public good’ benefits.
- (c) Institutional strengthening and revisions of relevant policies, strategies, plans and/or regulations to integrate climate resilience into development planning and policy reform across sectors. PPCR is to be opportunistically ambitious in taking advantage of ongoing policy reform efforts (e.g. such as upcoming revisions of PRSPs, sector policies and strategies, etc.). It should also contribute to improving the enabling environment and/or access to finance for the private sector to invest in adaptive measures (including innovative adaptation technologies).
- (d) Investments to support climate resilience in key/priority sectors and/or in important eco-systems and/or addressing particularly vulnerable groups. This may include, for instance, enhancing linkage between disaster risk management and proactive adaptation measures; implementation of measures for integrating climate resilience within infrastructure design and spatial planning processes, or modifying building construction standards/codes along with designation of ‘no-construction’ areas.
- (e) Concessional financing, to attract private sector investments that may on their own not deliver the required rates of return, but where blending highly concessional

loans with conventional financing to the private sector can help buy-down the additional costs and risks of private sector investments that would bring significant contribution to increasing national climate resilience. Some examples include:

- i. guarantees and risk mitigation (e.g. first loss may be necessary to cover the risk of a bank lending to small scale farmers for water conserving irrigation technologies);
- ii. monitoring and data collection programs (e.g. weather and yield patterns in strategic agricultural crops where the benefits are both private and public but where only blending with concessional finance would provide a private company with the incentive to invest in the project);
- iii. additional costs that address climate uncertainties in public-private partnerships.

### *Approval of PPCR financing for Programs and Projects*

40. The *Strategic Program for Climate Resilience* will include proposed activities or program components for PPCR financing, including technical assistance and other investments involving the public and/or private and non-sovereign entities. Short descriptions of each activity will be included in the Strategic Program submitted for endorsement (see Annex 1). Detailed preparation of each activity will be pursued in accordance with the procedures of the MDB(s) partnering with the country on the activity. A specific activity or program component may involve one or more MDBs and possible co-financing by other development partners.

41. The PPCR-SC will:

- (a) provide comments on draft project concept notes<sup>9</sup> during the review of the Strategic Program and approve project preparation grants for the proposed activities;
- (b) approve PPCR financing for specific PPCR projects and programs at pre-appraisal stage; and
- (c) receive the final project appraisal document<sup>10</sup> for information when such final document is circulated to the MDB Board<sup>11</sup>.

## **V. Financing Modalities**

42. The PPCR is designed to provide both grants and highly concessional loans to implement the Strategic Plans contributing to the broad range of financing instruments available through the MDBs (see section on financing instruments below). The PPCR design document recognizes that “a significant portion of funding under the PPCR is

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<sup>9</sup> The terminology differs slightly among MDBs, e.g. in IDB the equivalent to a *Project Concept Note* is a *Technical Cooperation Profile*.

<sup>10</sup> The terminology differs slightly among MDBs, e.g. in IDB the equivalent to the Project Appraisal Document is called the Project Operational Plan.

<sup>11</sup> At the same time as being circulated to the MDB board.

expected to be provided in the form of grants, while the PPCR may also consider the option of additional concessional lending that may be blended with existing sources of concessional funding and national resources to increase the climate resilience of existing development priorities. PPCR funding for additional costs directly associated with technical assistance and institutional adjustment should be provided through grants.”<sup>12</sup>

43. It is expected that *grants* will be available to finance:

- (a) preparation of the Strategic Program for Climate Resilience (Phase 1);
- (b) project preparation; and
- (c) additional costs necessary to make an investment climate resilient.

44. A more detailed proposal on financing products, terms and fees will be submitted to the PPCR-SC for approval consistent with the following general principles.

(a) *Grant finance to prepare the Strategic Program for Climate Resilience (Phase 1):*

45. A grant amount of up to \$1.5m will be available for Phase 1 activities for single country pilots. The amount will be approved by the PPCR-SC based on a workplan and budget for Phase 1 to be submitted by the participating country. Regional pilots may request additional finance in order to adequately cover the additional transaction costs in a regional pilot program.

(b) *Preparation grants for detailed preparation of activities in the Strategic Program (Phase 2)*

46. When the *Strategic Program for Climate Resilience* is submitted to the PPCR-SC for endorsement, a request will be made for approval of preparation funds to further develop the program and project concepts to be endorsed by the PPCR-SC. Once the preparation funds are approved, the country will be provided with grant financing for the detailed preparation of the endorsed program. An envelope of \$1.5 million in preparation funds is estimated for each participating country (for a single country pilot). The government, in dialogue with the MDBs, will provide a proposal to the PPCR-SC detailing how these funds will be used.

(c) *Grant financing, to the extent it is available, may also be used to cover the additional costs associated with mainstreaming climate resilience into investments*

47. The PPCR is designed to deliver additional finance to countries for integrating climate resilience into development planning and investments, including the blending of grant and highly concessional loans with domestic public and private financing.

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<sup>12</sup> The Pilot Program for climate Resilience under the Strategic Climate Fund, paragraph 18, November 18, 2008.



48. Both grants and concessional loans will be available to finance the additional costs necessary to make a project climate resilient. Countries may choose to only access PPCR grant resources. When concessional loans are provided, the grant element of the loan should be sufficient to cover the additional costs of climate resilience. Financing terms for concessional loans will be determined by the PPCR-SC and are expected to be equal to, or more concessional than, IDA terms.

*Determination of financing for pilot programs*<sup>13</sup> (Phases 1 and 2):

49. Based on current pledges, the average funds available per pilot program range from \$US 30-60 million, with approximately half the funds available for grant financing and the other half available as highly concessional loans. In considering the financing of each pilot, the PPCR-SC should take into consideration the needs of the country or countries as presented in the Strategic Program for Climate Resilience and the proposed program of activities. This will allow countries proposing activities with a greater potential for a transformational shift of approaches and scaled-up action, innovation, and/or co-finance to have enhanced opportunities for accessing resources.

*Methodology*

50. *Grant amount:* A grant financing envelope will be agreed by the PPCR-SC on the basis of the *Strategic Program for Climate Resilience*. While principally needs based, each pilot should be able to access at least 5% and up to a maximum of 10 % of the total grant amount available in the PPCR (a range of between 12 – 25 million based on the current number of 11 pilots and the current pledged grant amount). This should ensure that adequate resources are available for pilot programs independent of time of submission.

51. *Concessional finance:* In view of the uncertainty as to the need for, and interest in, accessing concessional loans, an initial ceiling is agreed of 20 % of the total available concessional finance amount per pilot program. This ceiling will be kept under review and will be reevaluated after the submission of the first three to five Strategic Programs.

*Financing Instruments*

52. PPCR financial support to participating countries will be provided in accordance with MDB procedures. A range of financing modalities that are amenable to support a programmatic approach will be employed. Diversity in financial instruments used should contribute to lesson-learning as to how best MDBs may work with countries to address climate resilience.

53. Recognizing slight differences in detailed MDB modalities, financial instruments may include budget support/development policy lending, coordinated investment programs across key sectors, and blending with national financing and/or existing international support mechanisms targeted at the public and/or private sector, which may,

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<sup>13</sup> Both single country and regional pilots

for example, include credit lines and partnerships with financial intermediaries, guarantees, and equity based operations. The choice of specific instruments should be made case-by-case taking into account specific country circumstances and the financing requirements and goals of the specific activity with an emphasis on financing instruments that promote programmatic approaches, country ownership, and broad cooperation and support by a number of development partners.

54. As the PPCR is designed to integrate climate resilience into development plans, PPCR funded actions should, as an overall practice, not be free-standing and should be blended with MDB resources and/or other parallel and co-financing, including government and/or private sector resources. Stand-alone program components could be allowed as an exception and will require a detailed justification. Integration of PPCR activities and financing in larger programs will provide for larger impacts and sustainability and are more likely to achieve scaled-up activities and a transformational shift of development approaches consistent with the goal of PPCR.

#### *MDB fees*

55. Cost recovery for the MDB expenditures relating to managing the project cycle should be based on MDB fees approved by the PPCR-SC. The MDB fee will reimburse the MDBs for the incremental staff, consultant, travel, and related costs of project development, appraisal, implementation support, supervision and reporting.

## **VI. Cooperation among Development Partners**

56. Cooperation with a range of development partners throughout the development and implementation of the pilot programs is an inherent element of efforts to achieve a transformative shift to a climate resilience development path and to create broad support and ownership. The composition and nature of these partnerships in participating countries will depend on country circumstances and will therefore evolve on a case-by-case basis. Key partners are likely to include UN agencies, bilateral and regional development agencies, NGOs, and the private sector. Furthermore, the knowledge and information management goals of the PPCR should usefully include an exchange of a wide range of experience and learning among development partners (see Section VII).

57. Cooperation should be initiated during the preparations for the initial joint mission. Provision should be made for a meeting with development partners working in the country early in the mission to provide an overview of the PPCR process, review on-going activities on which to build a Strategic Program and to identify opportunities for cooperation.<sup>14</sup> The aim of the outreach is to be build constructive synergies with partners.<sup>15</sup> Partners should be invited to contribute to:

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<sup>14</sup> Details of the joint mission process are outlined in the respective guidance note.

<sup>15</sup> Partners include UN agencies, NGOs, private sector, bilateral agencies and other development organizations (e.g., could also include regional climate centers and programs). In terms of the UN agencies, the UN resident coordinator's/UNDP resident representative's office in the participating country will be the entry point for cooperation with the UN agencies.

- (a) shaping the long-term strategic approach and investment program;
- (b) analytical work in Phase 1;
- (c) identification of gaps and needs;
- (d) identification of opportunities for synergies and co-finance for Phase 1 and Phase 2 implementation of the investment program.

58. The *Strategic Program for Climate Resilience* may set programmatic goals and activities beyond those that can be financed through the PPCR. Other partners may decide to finance and implement certain strategic components of the program. This would lead to mutually reinforcing efforts to support the country. Furthermore, co-and parallel finance of PPCR activities by bilateral, UN agencies, and IFI's/regional development banks should be strongly encouraged. For example, UNDP is implementing a related program on adaptation in the Africa region ("Supporting Integrated and Comprehensive Approaches to Climate Change Adaptation in Africa"). This program may be a vehicle through which a range of capacity building activities within Phase 1 and, potentially, Phase 2 could be financed.

59. The CIF are designed to be implemented through the MDBs. It would be possible, if a country and the MDB agree, to designate other development partners as executing entities (such as UN agencies or NGOs) to execute certain interventions, such as technical assistance activities. Such arrangements are provided for in the MDB procedures (i.e., through a contractual relationship in accordance with the respective MDB procurement rules).

60. The text below highlights the potential role of a number of key development partners that may collaborate with the country and the MDBs to achieve the goals of the Strategic Program. This list is to provide a number of examples, and it is not an exhaustive list. Other potential partners, such as regional climate centers, may have a very important role to play in specific actions at the country and regional levels.

#### *Cooperation with UN Agencies*

61. A range of UN agencies are supporting activities that are crucial for making development more climate resilience. This includes programs and projects supporting agriculture and fisheries, food security, disaster risk management, health services, natural resource management, and development of institutional and human capacity for the management of climate risks. A key entry point for collaboration with UN agencies in specific countries is the UN country team coordinated by the UN coordinator/UNDP resident representative.

#### *Cooperation with UNDP*

62. While a range of UN agencies are relevant to decreasing vulnerability within a country, it is worth noting the lead role that UNDP is playing through its existing and emerging programs on mainstreaming adaptation. Close alignment of the PPCR program

and UNDP programs on the country level, specifically in the Africa region (see Box 3 below), will lead to synergies and greater impacts. The UNDP program (through parallel finance) has the potential to contribute substantially to the development of the strategic approach and a range of the initial tasks in Phase 1, such as analytical work, awareness raising, and capacity building efforts.

63. Furthermore, both UNDP and the World Bank are engaged in the Adaptation Learning mechanism, a mostly web-based effort for dissemination of knowledge and lessons learned. The Global Support Program of the PPCR, described in section VII below, should create collaborative linkages with this effort.

**Box 3: UNDP Adaptation Program in Africa:**

**Supporting Integrated and Comprehensive Approaches to Climate Change Adaptation**

Under its \$92 million program, “**Supporting Integrated and Comprehensive Approaches to Climate Change Adaptation in Africa,**” supported by the Government of Japan, UNDP will assist 21 countries across the African continent in incorporating climate change risks and opportunities into national development processes to secure development gains under a changing climate. The program will help countries establish an enabling environment and develop the capacity required at local and national levels to enable them to design, finance, implement, monitor and adjust long-term, integrated and cost-effective adaptation policies and plans that are robust within a wide range of possible changes in climate conditions. UNDP will engage the World Food Program, the United Nations Children’s Fund, and the United Nations Industrial Development Organization, in the execution of some activities under this program. The program is also expected to lay the foundations for follow-up investments by the World Bank and other national, regional and multilateral financial institutions; as well as forge cooperation with other ongoing adaptation programs at the national, regional, and global level, e.g., programs supported by the EC, the GEF, and bilateral donors.

*Cooperation with the Adaptation Fund*

64. The PPCR has been designed to provide lessons over the next few years that might be taken up by countries, the development community, and the international climate change regime, including the Adaptation Fund (AF). To promote continuous interaction with the AF, the AF Board is invited to designate one of its members as a member of the PPCR-SC.

65. The Knowledge Management and Learning Component of PPCR (described in Section VII below) will extract and disseminate lessons regularly to key stakeholders. Global learning events and meetings –such as the Partnership Forum – will include a broad-based meeting of stakeholders, including the Adaptation Fund, donor and eligible



recipient countries, MDBs, UN and UN agencies, GEF, UNFCCC, bilateral development agencies, NGOs, private sector entities, and scientific and technical experts. The Partnership Forum will be convened annually to provide a forum for dialogue on the strategic directions, results and impacts of the Climate Investment Funds.

#### *Cooperation with the GEF*

66. PPCR resources will complement other multilateral financial mechanisms, such as the GEF and the Adaptation Fund, and bilateral sources of financing and seek co-financing where appropriate. Within LDCs, it will build on the NAPAs and the experiences gained in the NAPA formulation process.

67. The GEF has piloted a range of actions and gained a broad set of experiences in financing adaptive measures through the Strategic Program for Adaptation, the Least Developed Country Fund and the Strategic Climate Change Fund, which will provide valuable lessons and potential opportunities on which the countries should build their Strategic Program.

#### *Cooperation with NGOs*

68. Country-based NGOs should be important contributors to the development and implementation of the Strategic Program, and in particular, to the learning agenda. National, regional and global NGOs are traditionally key partners at the global, regional and national levels in actions such as knowledge dissemination, organizing community based consultations, providing training, and enhancing agricultural and health extension services, and they should be strong partners in knowledge exchange and support of south-south learning mechanisms. NGOs should also be invited to contribute to results measurement mechanisms, especially community-based organisations on the local level.

69. NGOs may choose to cooperate with PPCR actions as part of their on-going activities, and they may be contracted by the government to carry out targeted activities within components of the Strategic Program.

#### *Cooperation with the Private Sector*

70. The private sector is the foundation of economic growth and stability and job creation. Private sector companies should have the ability to adapt to climate change in order to maintain economic and social prosperity and stability. In order to effectively contribute to climate resilience, private sector companies will need to have the knowledge, capacity and financial incentives necessary to undertake appropriate and timely climate change interventions.

71. While some larger private companies will have the knowledge and expertise to assess and implement appropriate actions, many private sector companies might not have the expertise or resources necessary to elaborate and interpret appropriate climate models. This may be particularly true for medium and small private sector actors (e.g., small

farmers). The analysis of climate risks in Phase 1 should, therefore, include an analysis of risks to the private sector and possible impacts on the economy and human welfare.

72. Public sector interventions may be needed to manage uncertainties, to catalyze the private sector to adapt, and to guide new investments (e.g., by leading impact analyses on various climate scenarios, establishing procedures for the evaluation of climate risks, developing adaptation options and disseminating knowledge among those companies/sectors most at risk). Once investment needs are identified, financing and incentives may be needed to enable private sector operators to undertake necessary investments.

73. Similarly, appropriate regulation may be necessary to ensure private sector adaptation actions and enhance climate resilience (e.g., requirements for climate risk and adaptation assessments or development of new building codes). Given the dynamics of climate and adaptation related research and information, the above processes need to be continuous and reiterative.

## **VII. Learning and Knowledge Management**

74. The PPCR was designed to generate learning and lessons from its implementation and to transfer lessons to other ongoing and emerging mechanisms for adaptation, such as the Adaptation Fund and the GEF-administered UNFCCC funds. To achieve the learning objective of the PPCR, implementation will require that lessons are captured continuously, which will start with capturing lessons of the initial joint missions and carry through to final program evaluation.

75. This kind of targeted learning and dissemination of experiences requires that designated resources be set-aside within the PPCR program at a global level and that knowledge and management learning efforts are fully integrated in all pilots. It is proposed that the PPCR program provide for the establishment of a Global Support Program within the CIF Administrative Unit to provide the “glue” to bring together all of the individual pilot programs and to promote learning among them. This Program would support frequent exchanges and dialogue among pilots, provide tools and expertise to the participating countries, and disseminate lessons among a broad range of stakeholders within and beyond the immediate PPCR community of practice. It is expected that the Global Support Program would eventually be expanded to cover other SCF programs as they become operational. A more detailed outline of the Global Support Program activities and costs implications will be developed and presented to the PPCR-SC for approval.

### *Knowledge Management and Lessons Learned within each Pilot*

76. Each component of the country’s *Strategic Program for Climate Resilience* will be requested to include, and budget for, knowledge management and learning activities. These will aim at reaching stakeholders within the country as well as across PPCR pilots and at the global level. Creative ways of both capturing as well as disseminating lessons

learned and relevant knowledge products should be piloted, building on existing country level efforts and using established mechanisms and institutions as appropriate. The CIF Administrative Unit, through the Global Support Program, would serve as the central advocate for promoting effective and robust implementation of such knowledge management and learning activities. These could include, among others:

- (a) continuously capturing and disseminating lessons learned, feeding information into the global support program and maintaining a website (in local languages and in English);
- (b) using of innovative and locally adapted media for knowledge dissemination (both text based and visual media to illustrate progress and lessons);
- (c) promoting south-south learning on shared climate threats and solutions, through exchanges among experts and practitioners among pilots with similar threats;
- (d) strengthening understanding and methodologies on specific issues, such as for assessing the costs and benefits of adaptation and enhancing metrics to monitor effectiveness of adaptive measures;
- (e) developing pilot specific training-of-trainers program and other relevant professional development programs targeting government staff, NGOs, others;
- (f) developing outreach and awareness campaigns within each country (aimed at e.g., public, policy makers, schools, private sectors), including media training;
- (g) establishing an expert support desk to provide just-in-time expertise, and facilitate dissemination of innovative tools and knowledge resources on national level (see also Global Support Program).

### *Global Support Program*

77. The Global Support Program should ensure that lessons are captured and disseminated across the pilots and to other stakeholders at global and regional levels, that shared knowledge products, taking into account the needs and experiences of the pilot programs, are produced in a cost effective way, and that expertise and tools are provided to the participating countries as needed. Activities may include:

- (a) maintaining a global PPCR website to disseminate information on progress of the pilot programs supported by PPCR and providing information to teams in participating countries and beyond (building on and collaborating with existing global adaption learning efforts) and providing interactive tools for communication among country pilots (such as e.g., listservs, blogs for practitioners or a virtual help desk)
- (b) convening annual learning meetings of all pilot countries and inviting a range of related stakeholders to enrich the exchange and capture of experience<sup>16</sup> (e.g., there may be yearly themes and/or parallel session);
- (c) enabling targeted common activities among participating countries with similar threats and experiences (e.g., recognizing similarities among the vulnerabilities

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<sup>16</sup> Including representatives from other regional and global programs relevant to climate resilience, such as the UNFCCC NEEDS program, experiences based on the HYOGO framework of action, and so forth.

- of small island states, the Global Support Program may explore how best to promote interregional sharing of lessons among small island states);
- (d) providing tools and knowledge resources to PPCR countries through an evolving ‘sourcebook.’ The sourcebook should be accessible virtually, designed in dialogue with countries and based on an analysis of specific gaps and needs. The sourcebook should include targeted information and knowledge designed for specific issues that are key for PPCR, such as vulnerability assessment tools for countries with similar threats and examples of successful integration of climate resilience in sector policies. Dissemination within the country of these resources and facilitation of use of innovative tools and approaches should be part of the design of each pilot;
  - (e) capturing progress and strengthening metrics/indicators for progress in terms of climate resilience across pilots through a variety of means and working with the teams in participating countries to promote robust measurement of results, and providing support to design of performance frameworks for the pilots;
  - (f) provide technical support/ just-in-time expertise to strengthen the expert support in each pilot program and to facilitate dissemination of innovative tools and knowledge resources to PPCR pilot programs (e.g., through training-of-trainers programs);
  - (g) cooperation with other global learning platforms and programs, such as the Adaptation Learning mechanism, and exchange of cutting edge and emerging knowledge and innovative efforts to address adaptation challenges. This should be designed as a two-way interaction with participating PPCR countries uploading experiences and lessons, as well as benefitting from the increasing global knowledge base.

78. The Global Support Program should be established at the beginning of FY10 to ensure that knowledge management and lesson learning is embedded in the pilot programs from the start. It should bring together representatives from the participating countries early in the process to exchange experiences and identify their needs for additional support through knowledge resources and expertise in the development of their *Strategic Programs for Climate Resilience*.

## **VIII. Reporting**

79. For the PPCR objective of learning and dissemination of lessons, reporting on progress and disseminating this information widely and in a variety of media is of central importance. This should contribute to a spirit of transparency and collaboration among development partners. The CIF Administrative Unit will take a central role in this effort.

### *PPCR program level*

80. Consistent with SCF and PPCR design, an annual portfolio and funds review will be prepared by the CIF Administrative Unit, based on inputs by the respective MDBs.

81. In addition, the CIF Administrative Unit, through the Global Support Program, will be the central point for capturing and disseminating lessons learned across participating countries, including interacting with and ensuring lessons are transmitted regularly to the UNFCCC, Adaptation Fund Board, and other relevant fora.

82. At the time of the annual portfolio reporting by the CIF Administrative Unit, the PPCR-SC will review the progress in implementing the PPCR portfolio. This review will provide an opportunity to explore major delays or barriers to implementation in the program. The PPCR-SC may consider establishing some benchmarks which, when not met, would trigger the need for an explanation from the country as to why benchmark has not been achieved, such as:

- (a) a *Strategic Program for Climate Resilience* should be submitted within 18 months of the initial joint mission;
- (b) specific components within the Strategic Program for Climate Resilience should be submitted for approval (at pre-appraisal stage) no later than 12 months after the review of the Project Concept Note.

83. Based on the explanation submitted by a country, the PPCR-SC could consider what steps should be taken to improve performance or whether funds should be allocated to other PPCR activities.

#### *Country (pilot program) level*

84. On the country level (including the regional level for PPCR regional pilots) there will be various steps in the PPCR cycle that provide an opportunity for capturing progress and lessons, including the joint mission reports, the proposal for phase 1, the *Strategic Programs for Climate Resilience*, and regular reporting on implementation of the strategic programs both through MDB and in more detail through the country-based learning and knowledge management components of the program.

### **IX. Monitoring and Evaluation**

#### *PPCR program level*

85. Regular reporting mechanisms have been agreed upon during PPCR design. The PPCR Results Framework provides a structure for designing program evaluations of the PPCR. Beyond the final program evaluation, intermediate thematic reviews may be considered to both enhance context specific lessons learning, such as on disaster risk management and adaptation linkages, and to identify, and allow for steps to address, bottlenecks to implementation of specific components at pilot level.

86. As the impacts and effectiveness of adaptation measures, including sustainability, are only apparent after the typical lifespan of interventions, it will be important to set aside funds for an ex-post evaluation of the program in the future.



*Country (pilot program) level*

87. On the level of single and regional pilots, the pilot-specific *Strategic Program for Climate Resilience* will establish an overall framework for tracking progress aggregated on national level, including mechanisms to aggregate progress under the various components of the strategic programs as outlined in the PPCR Results Framework. Phase 1 will be important to establish a baseline and key indicators for national and regional pilots.

88. It is understood that metrics and approaches will differ depending on country and targeted sectors. Improving monitoring frameworks on the national level will be part of support and learning agenda of the PPCR. The MDBs and the Administrative Unit (through the Global Support Program) will work with counterparts in the participating countries to periodically (e.g., specifically at mid-term reviews) assess progress of individual components of the Strategic Programs towards the overall countries' agreed approach to climate resilience and to refine metrics for climate resilience. Progress of country pilots will be captured in the PPCR results monitoring and reflected in the annual portfolio and funds review.

*Investment component level*

89. For each project or program component under a Strategic Program, a detailed results based indicator framework will be established in accordance with MDB procedures. Biannual supervision of progress will be carried out by the MDB and specific reporting mechanisms established for each program component. Consistent with MDB procedures, mid-term reviews and completion reports will be key points for critically evaluating progress and effectiveness of interventions. Terms of Reference for the mid-term reviews will be reviewed by the CIF Administrative Unit and the MDB committee, and shared with the PPCR-SC for comment.

## *Annex 1*

### **Guidance for drafting Strategic Program for Climate Resilience (proposed outline)**

(Total of around 20- 30 pages main text plus annexes as outlined)

While part I mainly summarizes the government's vision and agreed approach towards climate resilience, part II, outlining a proposed program for investments for PPCR finance, is aimed at the PPCR-SC's review and endorsement of proposed investments for further development.

#### **Part 1 – Background and Rationale**

1. **Country circumstances**
2. **Development context and climate risks:** Identify key climate risks and vulnerabilities in key sectors, sub-regions, for specifically vulnerable groups, for the private sector, important eco-systems and natural resources (include data to support the argument)
3. **Overview and linkage to existing development plans and programs** (as immediately relevant) and to existing policies and strategies that address climate resilience (including supported by national, bilateral, multilateral funds) (provide references; attach short summaries for any immediately relevant ones (such as the country's climate and development strategy, if existing))
4. **Rational for PPCR support,** including (i) where can PPCR program add value?; (ii) what are country main priorities towards climate resilience (e.g. one or two sectors)?; (iii) what and why is PPCR support requested?; (iv) how does this support a shift in approach to development planning and scaled-up action towards climate resilience?; (v) what is the potential cost effectiveness of proposed actions? (vi) how is it sustainable?
5. **Institutional Analysis:** (i) list key agencies to address the risks (current set-up; gaps and needs that PPCR will support (X-sector coordination is of key importance); (ii) private sector role and potential to achieve climate resilience; (iii) implementation structure and associated risks of proposed investments for PPCR finance
6. **Outline of the Strategic Program for Climate Resilience:** PPCR process/investment plan will require more than the time span and finance of PPCR alone. Therefore this outline should include a view on phasing of the needed actions and division of labor between PPCR and other actors. In that context, it should be described which of the components are suggested for PPCR finance (as part of long part process), as well as describe how this links with ongoing and/or planned MDB programs. A short overview to be provided on components financed and implemented by other partners should be provided in the text or in an annex.
7. **Participation process** – describe the participation process that led to the development of the Strategic Program, including details and list of meetings and stakeholders consulted in an annex)

## **Part 2 – Proposed Investment Program Components for PPCR finance**

8. Summarize the overall programmatic approach and rationale for components in light of the country's agreed strategic approach to climate resilience. Provide a performance framework with country specific metrics. Attach more detailed descriptions of the components of the programmatic approach in an annex ( 3 - 6 page annex each):

- (a) Title
- (b) Background
- (c) Development and specific objectives
- (d) Key indicators and baseline
- (e) Anticipated components and activities incl. Learning and Knowledge Management activities)
- (f) Institutional Arrangements: options and risks; link and strengthening of cross-sectoral coordination mechanism within the country and support to sectoral climate units (as applicable); interim support structures during project preparation; link with the private sector
- (g) Risks
- (h) Investment costing: notional allocation (PPCR and co-finance (including counterpart finance)
- (i) Results and Performance Framework

## **Part 3 – Request for Project Preparation Funding**

## *Annex 2*

### **Guiding Questions to Aid the PPCR Sub-Committee in its Consideration of Strategic Programs**

#### **1. Climate Risk Assessment:**

- (a) What are the key climate impacts in the country, by region? Including current impacts (0-5 yrs), medium (5-20 yrs) and long-term (20+ yrs).
- (b) How have vulnerabilities been assessed (in all relevant sectors, vulnerable populations, ecosystems, etc)?
- (c) How have the economic, social and ecological implications of climate change impacts been assessed?

#### **2. Institutions / co-ordination:**

- (a) What are the coordination arrangements to address climate change: cross-sectoral; between levels of government; and including other relevant actors (e.g., private sector, civil society, academia, donors, etc)?
- (b) What are the existing institutional mechanisms for disaster management? How do they relate to existing or emerging climate change institutional structures?

#### **3. Prioritization:**

- (a) What was the process for prioritizing, including stakeholders and co-ordination?
- (b) How does the prioritization take into account:
  - i. relevant development priorities, as reflected in national development and
  - ii. sectoral policies, etc;
  - iii. ongoing policy reform processes (e.g. PRSP revision);
  - iv. existing, relevant activities and strategies (incl. NAPAs, national
  - v. communications; other relevant sector programs).
  - vi. Climate risks.
- (c) In the development of the strategic approach, have you considered how climate impacts could reinforce or alter existing development priorities (currently, and over the medium and long term)?
- (d) What is the rationale for selecting PPCR-specific components of the Strategic Program for Climate Resilience?

#### **4. Gaps and Needs analysis (after prioritization; linked to identified PPCR components identified above):**

- (a) What are the specific gaps that have been identified?
- (b) What are the needs that the PPCR can support, related to these identified gaps?
- (c) What are opportunities within the country to build on?

**5. Stakeholder engagement / participation:**

- (a) Who has been involved in developing the strategic approach?
  - i. How were stakeholders selected?
  - ii. How have non-government actors (e.g. civil society, private sector, academia, national/local NGOs) been involved?
  - iii. How have groups, which are specifically vulnerable to climate risks, been identified and consulted and their views on solutions to climate risks been considered, including women, youth, indigenous people and local communities and other vulnerable social groups?
- (b) How have the identified highly vulnerable groups participated in formulation of approaches and solutions?
- (c) Who had the lead in the preparation of the strategy?

**6. Awareness-raising:**

- (a) How has the public been made aware of predicted range of climate impacts on the country and the country's engagement within PPCR?
- (b) Has the draft Strategic Program been made publicly available?
- (c) What consideration has been given to the wider dissemination of background analysis?

**7. Monitoring and Evaluation:**

- (a) Does the Strategic Program identify some overall key results, indicator(s) and baseline(s)?
- (b) Is there an outline on how the country intends to develop a system that measure and aggregate results from interventions into climate resilience on a national level?

# ANNEX 2

## **Draft Terms of Reference<sup>1</sup>**

**(September 23, 2009)**

### **Joint Multilateral Development Bank (MDB) Programming Mission Tajikistan Pilot Program for Climate Resilience (PPCR) October 12-22, 2009**

#### **1. Background**

The Government of Tajikistan was nominated to participate in the Pilot Program for Climate Resilience (PPCR) and accepted the offer on March 18, 2009 (see Annex1). As a pilot country, Tajikistan will receive support to scale-up actions, and foster transformational change via the integration of climate impact and risk management considerations into national development policies, investment planning, and programming. Targeted investments and strengthened national and sub-regional capacity are also expected outcomes. It is envisaged that the PPCR process will provide a platform to identify synergies in support of new and ongoing climate-resiliency initiatives, while leveraging funding and minimizing duplication. The PPCR process will continue to identify and build on the comparative advantages of relevant stakeholders in the country including government, bilateral and multilateral donor agencies, civil society, private sector, academia and think tanks in creating a coherent and participatory response to climate change.

Being a pilot initiative, the PPCR process will learn-by-doing and share lessons within and across relevant sectors at the national level.

The PPCR will be carried out in two phases. During phase I of the PPCR (targeted for less than 12 months), Tajikistan will receive technical assistance (TA) for preparatory analytical work and capacity-building to: facilitate cross-sectoral coordination; and integrate climate resiliency measures into national development planning and financing processes. As the primary outcome of the first phase, Tajikistan will develop a Strategic Program for Climate Resilience (SPCR) including recommended priority investments within the broader context of sustainable development and poverty reduction to help the country embark upon a climate resilient development path. By the end of phase one, the government should be ready to submit the SPCR together with the financing plan to the PPCR Sub-Committee to request funding. In phase II, grants and concessional loans, possibly around \$30 million in the case of Tajikistan, will be made available to fund climate-resiliency activities toward catalyzing transformational change against climate change impacts. During phase two, Tajikistan will implement the program of priority investments over a period of 4-5 years. The two phases may overlap with the TA continuing into subsequent years, and early investments in capacity building occurring during phase 1.

The World Bank, the European Development Bank (EBRD), and the Asian Development Bank (ADB) will field a Joint Programming Mission to Tajikistan from October 12-22, 2009. The mission objective is to take stock of the scope of current activities and develop a collaborative process required to prepare the SPCR. The mission will engage numerous bilateral and UN organizations. Given the significant support to Tajikistan on PPCR preparations, the UK's Department for International Development (DFID) will join the MDBs on mission as an associate member. Following the initial programming mission, the Government will consider the activities

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<sup>1</sup> These draft Terms of Reference are currently pending sign-off by the Government of Tajikistan (as of 23 September 2009). It is possible that minor changes to the scheduling of mission events may be required in order to accommodate the availability of Government and other stakeholders.



that should be covered under the SPCR TA. The TA outcome, outputs, activities, and time-lines will be agreed to during a subsequent programming mission.

## **2. Pre-mission preparatory activities**

Preparatory activities are being undertaken to ensure that PPCR programming is anchored in an inclusive and participatory process. Dialogue has been established with government and donor agencies, and will be extended to civil society and other relevant stakeholders during the course of the joint mission.

### **a. Briefings and Consultations**

A number of preliminary activities have already occurred in preparation for the PPCR Joint Mission. As part of a 3-day preparatory mission in April 2009, an informal round table discussion on the proposed PPCR for Tajikistan was held in Dushanbe on April 21, 2009. Thirty persons attended representing MDBs, the Government of Tajikistan, UN organisations, bilateral development agencies and non-governmental groups. At this round table, the idea and basic structure of the proposed PPCR was presented to government and other representatives.

DFID is planning to arrange consultancy support to the Government of Tajikistan (GoT) to assist the GoT with its preparations for Phase I of the PPCR. A small team of experts is expected to be in place by September-end, 2009.

### **b. Institutional Arrangements for SPCR**

The Office of the Prime Minister of Tajikistan has been the primary lead for the government on PPCR planning to date. In the March acceptance letter, the DPM and Office of the President are identified as the senior institutional leads, and the State Committee for Investments and Property is mentioned as having the capacity and experience for implementing the program. Links to other government bodies and stakeholders are also mentioned. While this is encouraging, it is expected that the precise institutional arrangements for the PPCR will be finalised during the first phase. It is anticipated that the permanent lead government agency will be confirmed after discussions held during the joint mission on 12-22 October 2009. In the meantime, the Office of the Prime Minister is the liaison point on PPCR matters, including the Joint Mission and the proposed consultancy support provided by DFID.

## **3. Mission objectives, outputs, and process**

The first Joint Mission will be hosted by the Government of Tajikistan (Office of the Prime Minister as lead), and will actively engage the spectrum of government ministries, committees and agencies as appropriate. The primary objective of the mission is to take stock of the scope of current and prospective activities on climate resilience, and formulate a collaborative process to prepare the SPCR. Key tasks to be performed by the Joint Mission will include: (i) strengthening consultative and institutional processes to build country ownership through wider inter-agency participation; (ii) identifying priority government sectors and possible preliminary actions; (iii) identifying necessary public and private sector-specific analytic and capacity development activities, with a focus on project development and implementation; and (iv) reviewing key development strategies in light of current and anticipated climate impacts and

related risks and vulnerability. The Government of Tajikistan Focal Point for this activity is the Office of the Prime Minister, pending clarification of institutional responsibilities.

Under the coordination and guidance of the GoT, the mission will organize a broad-based workshop over two days that will include Government agencies, CSOs, private sector and other development partners. The expected outputs from the PPCR workshop are:

- (i) Improved understanding of the issues and implications of climate change impacts and risk reduction and adaptation practices in the country, from both a technical and social perspective, with special attention on livelihood security of the poor and vulnerable;
- (ii) Identification of sectoral issues, and gaps to achieve climate resilient development that will contribute to more sustainable development pathways;
- (iii) A better understanding of ongoing and proposed climate change initiatives and an assessment of their potential synergies; establishment of a coordinated approach to foster complimentary efforts; and
- (iv) A framework for further SPCR planning and implementation, including appropriate institutional set-up and modalities to be followed by all stakeholders.

The two-day workshop will be followed by thematic working group sessions (each co-chaired by a GoT and an MDB/ bilateral/international partner) to explore specific ideas for the SPCR. Specific topics will be reconsidered immediately in advance of the mission and may be adjusted during the previous workshop. An initial target of 6 workshops is sought (two running parallel over the three half-day blocks) and may cover such topics as:

- (i) Policy context for achieving climate resilient development
- (ii) Agriculture and food security,
- (iii) Integrated Water Resource Management (basin-wide to municipal utilities)
- (iv) Energy security and renewable energy
- (v) Hydro-meteorological forecasting and disaster management
- (vi) Social development, poverty and livelihoods

Joint Mission activities will benefit from the preliminary stakeholder scoping and advanced analytical work, for example an overview assessment of the nine national and sectoral strategies and programs related to climate and the PPCR noted by Tajikistan in its acceptance offer (section 7b). The key expected outputs from the MDB Joint Mission may be summarized as follows:

- (i) Multi-stakeholder consultation workshop;
- (ii) Summary document of the outcomes of the stakeholder consultations and government priorities;
- (iii) Drafting and agreement on the Aide Memoire, containing a time line for key activities related to PPCR phase I.
- (iv) Preliminary/Indicative Climate Adaptation Investment Plan

Following the Joint Mission, the Government of Tajikistan will prioritize activities identified during the stakeholder workshop and prepare the funding proposal for the SPCR TA.<sup>2</sup> A key output of the Joint Mission will be to determine the timing and content of the TA over the following twelve months. The MDBs will field a subsequent mission (expected in Spring 2010 to agree with Government of Tajikistan on the work program, timetable, roles and responsibilities and funding proposal for developing the SPCR).

The proposed mission schedule (including agendas for the workshop and thematic sessions) is as follows:

Mon, Oct 12	Planning meetings with GoT and consultants
Tues-Wed Oct 13-14	Two-day stakeholder workshop (Introductions, Workshop Objectives, PPCR Stocktaking)
Thurs-Fri AM Oct 15-16	Parallel thematic working group sessions (sector breakout sessions & needs assessment)
Sat-Mon Oct 17-19	Field visits for core mission members  Follow-up consultative meetings with Government line Ministry focal points, donors and partners
Tues Oct 20	Mission members prepare final briefing along with government
Wed Oct 21	Final stakeholder meeting and press briefing
Thurs, Oct 22	Mission members depart Dushanbe

### **MDB Mission Membership**

MDB engagement for this Joint Mission has been coordinated by the World Bank, and includes participation by the EBRD and ADB. Logistical support in Tajikistan will be provided by DFID-financed consultants. Given DFID's key role in providing local and international consulting support, DFID will join as an associate member of the Steering Committee. Other international and bilateral organizations are also expected to participate on the mission in a consultative and/or associate role. An Aide Memoire will be produced by the end of the mission and will reflect agreements between the Government and MDBs.

Key mission members from the four above organizations are:

Ron Hoffer, Environment and Water Advisor, World Bank, Washington DC (overall mission lead)

Chiara Bronchi, Tajikistan Country Manager, World Bank, Dushanbe

Craig Davies, Principal Environmental Advisor, EBRD, London

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<sup>2</sup> It is envisaged that additional consulting support will need to be provided to the Government of Tajikistan to rationalize diverse stakeholder inputs, prioritize activities, and formulate the TA proposal for MDB consideration. A Government-executed grant application will be prepared in the first part of phase 1 in this regard.

Bakhtiyor Faiziev, Senior Banker, EBRD, Dushanbe

Peter J. Hayes, Senior Climate Change Specialist, ADB, Manila

Joji Tokeshi, Senior Portfolio Management Specialists, ADB, Dushanbe

Amanda Duff, Infrastructure and Environment Adviser, DFID, UK

Bob Leverington, Head of DFID in Tajikistan, Dushanbe

The Government of Tajikistan Focal Point for this activity will be:

Mr. Sulton Rakhimov

Head of Environmental Department

Executive Office of the President

Tel: +992 37 2214013

### **MDB Budget Considerations**

The World Bank, EBRD and ADB have worked with the CIF Administrative unit to secure the necessary reimbursable funds for staff time and travel to prepare for and participate in the mission. The amounts projected are within CIF Admin unit guidelines, and an update on funds expended and requirement for Phase 1 completion will be provided following the mission.

Of special note, DFID funds for consulting support have been secured and a contract for international and local consulting support is expected to be in place on or around the week of September 21, 2009.

### **Annexes:**

Annex 1: Acceptance of Offer by Tajikistan

Annex 2 Mission announcement letter (August 27, 2009)

Chiara Bronchi  
C:\Users\wb327471\AppData\Local\Temp\notes230A08\~9419878.doc  
24/09/2009 18:31:00

# ANNEX 3

<http://www.adb.org/Documents/Reports/Pilot-Program-for-Climate-Resilience-Tajikistan-Report.pdf>

# ANNEX 4

**Tajikistan Pilot Program for Climate Resilience**  
**Phase 1 Mid-Term Multilateral Development Bank Mission**  
**March 4-11, 2010**

**Aide Memoire**  
**March 9, 2010<sup>1</sup>**

The World Bank Group, Asia Development Bank, and European Bank for Reconstruction and Development wish to thank the Government of Tajikistan for its support in the most recent mission to advance the preparation of the Pilot Program for Climate Resilience. The advice of Government representatives in preparatory activities to advance mission objectives in February is also sincerely appreciated. This Aide Memoire outlines the findings and recommendations of the mission.

**Background**

The Pilot Program for Climate Resilience (PPCR) for Tajikistan is one of 11 efforts financed by a multi-donor international trust fund managed by a Climate Investment Fund administrative unit (CIF Admin unit) based in Washington DC. All major Multilateral Development Banks in Tajikistan are interested in the program: the World Bank Group (WB<sup>2</sup>), Asia Development Bank (ADB) and European Bank for Reconstruction and Development (EBRD)<sup>3</sup>. Phase 1 is designed to take place over a 12 to 18 month period, and leads to the preparation of a Strategic Program for Climate Resilience (SPCR), which is a proposed series of investments in Phase 2 to demonstrate approaches for building greater climate resilience in development planning and programs. The budget for Phase 2 investments is expected to be at least \$20 to \$30 million and be implemented over a 3 to 5 year period. The PPCR will provide a framework of priority actions which may attract further funds from MDBs and donors. To assist in planning these investments and building linkages across program elements, Phase 1 can include relatively short term (i.e. 5 to 12 month) analytical studies or capacity building efforts, which the CIF unit may authorize, up to a total budget of \$1.5 million. The Government would request this assistance through a Phase 1 grant application.

Phase 1 began with a Joint Mission of MDBs in October 2009, where the general sector and cross-sector themes for the PPCR were established through extensive consultations with Government, Civil Society organizations (CSOs) and other development partners. This Phase 1 engagement has been supported by a team of international and local consultants<sup>4</sup> financed by the Department for International Development of the United Kingdom. The mission and follow-

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<sup>1</sup> While updated on May 17, 2010, except in reference to the timing and goals of the next mission (see footnote #8) there have been no substantive changes from the draft Aide Memoire shared with Government.

<sup>2</sup> Primarily the International Bank for Reconstruction and Development (IBRD) which works with Government. The International Finance Corporation (IFC) works with the private sector, similar to EBRD, and will coordinate activities accordingly.

<sup>3</sup> MDB leads are Ron Hoffer from the World Bank (also serving as overall MDB coordinator), Peter Hayes of ADB, and Craig Davies of EBRD. All MDB resident office managers were active in advising the mission.

<sup>4</sup> Contract managed by the UK-based consulting firm AEA, and led by Cinzia Losenno



on work was coordinated on the Government side by a focal point in the Executive Office of the President<sup>5</sup>. The Joint Mission report was reviewed by all applicable agencies of Government and endorsed by Deputy Prime Minister Alimardon on February 9, 2010.

### **March 2010 Mission Objectives and Activities**

The Joint Mission clearly identified the benefits for a Phase 1 grant, and the MDB and consulting team prepared some initial concepts and options. To refine the Phase 1 grant application, informal consultations took place in February<sup>6</sup>, and a mission of MDBs took place from March 4-11, 2010 to reach further consensus on grant activities. Discussions on sector and cross-sector themes were held in a one-day stakeholder workshop on May 5<sup>th</sup>, followed by smaller meetings with the donor community and Government PPCR focal point on May 6<sup>th</sup>. The workshop included a full discussion of PPCR processes and implementation approaches (included as Annex 1 in English and Russian) along with break-out sessions on the emerging 6 key themes. These discussions were extremely helpful with Government experts providing their perspective, and the donor community and CSO representatives providing their experiences on climate adaptation and related sector projects and policy initiatives. The MDB and consulting team reflected on these discussions and produced a full draft Phase 1 grant application for further dialogue with Government during the final days of the mission, setting the stage for final reviews and approvals on both the Government and MDB sides over the coming weeks. The proposal includes 6 recommended activities.

### **Focus of Proposed Phase 1 Grant Application**

A short description of the proposed objectives, budget (for national and international experts, travel and other requirements), recommended implementing MDB, and Government working-level counterpart follows<sup>7</sup>.

Institutional analysis & capacity needs for climate resilience. The objectives are to review government structures and national policies to identify where government capacity can be strengthened to enable successful integration of climate resilience in development programs. It will also examine modalities for inter-Ministerial cooperation and recommend a framework to engage CSOs, the donor community, and local institutions. It is expected to last 8 months, with a budget of \$150,000. The Government counterpart is proposed as the Executive Office of the President.

Tajikistan Climate Science and Impact Modeling Partnership. The objectives are to review current capabilities in Tajikistan for projecting future climate scenarios and consequent impacts on various sectors and resources. To carry out the review, an

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<sup>5</sup> Mr. Sulton Rahimov, Head of Department of Environment and Emergency Situation

<sup>6</sup> Carried out by the AEA consulting team with numerous stakeholders.

<sup>7</sup> There are small changes in the title and description of some activities in the actual grant application now being finalized.

international panel of experts from at least 2 countries will partner with HydroMet and other Tajik experts to assess possible modeling improvements or products needed to inform both PPCR Phase 2 investments and the future 3<sup>rd</sup> National Communication to the UNFCCC. It is expected to last 10 months, with a budget of \$375,000 under ADB leadership. The Government counterpart would be HydroMet.

Awareness-Raising. The objective is enhance the understanding amongst Government and others regarding projected climate change impacts on Tajikistan, and approaches to enhance climate resilience of vulnerable sectors. This Phase 1 activity (comprising a few workshops and learning events in Dushanbe and elsewhere in the country) will also help design a larger capacity-building effort in Phase 2. It is expected to last 12 months, with a budget of \$100,000 under WB leadership. The Government counterpart will be identified through further discussions with the Executive Office of the President.

Enhancing the Climate Resilience of Tajikistan's Energy Sector. The objective of this proposed activity is to assess the climate vulnerability of the energy sector, with a particular focus on hydropower, and provide recommendations how investments in this sector could improve Tajikistan's energy security. It is expected to last 6 months, with a budget of \$300,000 under EBRD management. The Government counterpart would be the Ministry of Energy and Industry.

Analysis of Sustainable Land Management Approaches for Changing Climatic Conditions in Tajikistan. The objective is to inventory and review sustainable land management activities now underway in the country, as well as review associated land policy issues that can help identify investment projects and policy support programs that could be demonstrated under Phase 2. It is expected to last 5 months, with a budget of \$200,000 under WB management. The Government counterpart is the Ministry of Agriculture and State Organization for Forestry.

Analysis of River Basin Approach to Climate Resilience. The objective is to develop a methodology for enhancing climate resilience at the river basin level in vulnerable areas of Tajikistan. An analytical assessment will be conducted on the benefits and challenges of applying a cross-sector ecosystem-based approach to resilience in existing infrastructure and sector development projects, with a demonstration in national river basin segment. It is expected to last 10 months, with a budget of \$375,000 under ADB management. The Government counterpart is the Ministry of Water Resources and Amelioration.

### **Implementation Arrangements for Phase 1 Grant**

The PPCR program documents specify that funding would originate from the multi-donor Trust Fund (managed by the CIF Admin unit), and channeled through the relevant MDB who would then utilize their standard procurement procedures for goods and services. Considering that the range in Phase 1 analytical needs is broad, and timeframes for tasks are relatively short, it is

proposed that MDBs share responsibilities for administering the Phase 1 (noted above). The suggested allocation of MDB tasks reflects each MDB's particular interest and experience on the issue.

Implementation arrangements by MDB were described to the stakeholders and Government on mission (see Annex 1). In all cases, the MDB procedures allow for hiring of local specialists in addition to international experts. EBRD and ADB procedures applicable to Phase 1 do not include channeling of funds through the Government budget, but specialists may be hired through these MDB contracting arrangements and as needed, can be housed in Government entities. This is a practical and routine approach for implementation of both technical assistance and investments. These two MDBs do have well established procedures for engaging Government in key formal decisions regarding scopes of work.

The World Bank generally prefers that Phase 1 technical assistance is carried out through a recipient-executed grant, where funds are channeled through Government upon signing of legal documents. This can take several months longer than the Bank-executed approach utilized by ADB and EBRD. As the World Bank also routinely manages Bank-executed technical assistance, this option can also be explored with the CIF Admin unit management if desired by Government.

### **Next Steps on the Phase 1 Grant Application**

A revised draft application package reflecting discussions with Government on mission will be provided in English and Russian by the end of March. The MDBs look forward to receiving Government comments on this draft as soon as procedures allow; and if needed would revise the application in accordance with Government comments. As needed, a final revised version would be returned to Government for formal submission to the PPCR sub-committee (through the CIF Admin unit), hopefully by the end of April 2010. The MDB consulting team would be available to assist both the Government and MDBs on both substantive and administrative aspects of the process.

### **Next Steps towards Submission of the Strategic Program for Climate Resilience (SPCR)**

The MDB leads have been coordinating with project teams that may have relevance for Phase 2 demonstration of improved climate resilience. Results from this mission will be shared with these teams to refine such possibilities, recognizing that details in some areas will need to await results from Phase 1. The MDBs aim to submit a draft SPCR for Government consideration by early June 2010<sup>8</sup>. This schedule is contingent on the formal submission of the Phase 1 grant by Government, the approval of the grant by the PPCR sub-committee, and clear guidance of whether the envelope for grant of Phase 2 is in the initial \$20 million to \$30 million range, or

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<sup>8</sup> As the process for the preparation of the Phase 1 grant application took somewhat longer, this step (and the Joint Mission) will slip by several months.

could be higher. A Joint Mission may be scheduled for late June 2010 if sufficient progress is made on these points.

Possible areas for investment support include: (i) major rehabilitation of the basic system for acquiring and managing HydroMet data (taking into account proposals already in discussion with Government), (ii) building national capacity at all levels for understanding climate impacts and building resilience, (iii) developing investments to improve climate resilience of hydropower stations, (v) strengthening national systems for climate science and impact modeling, (v) applying climate resilience approaches to improve resilience of multi-faceted river-basin investments, (vi) enhancing the climate resilience of agriculture landscapes such as rangelands and irrigated agriculture. Regarding implementation arrangements for Phase 2, this will again be through normal MDB procedures. Mechanisms for supporting cross-activity coordination and integration by Government can be explored if requested.

### **Concluding Remarks**

The MDBs wish to thank the Government for its advice and support to the mission. We look forward to representation of Tajikistan in the Partnership Forum planned for Manila during the week of March 16<sup>th</sup> and to the further next steps in this important effort.

# ANNEX 5

[http://www.climateinvestmentfunds.org/cif/sites/climateinvestmentfunds.org/files/Tajikistan%20Proposal.p](http://www.climateinvestmentfunds.org/cif/sites/climateinvestmentfunds.org/files/Tajikistan%20Proposal.pdf)

[df](http://www.climateinvestmentfunds.org/cif/sites/climateinvestmentfunds.org/files/Tajikistan%20Proposal.pdf)

# ANNEX 6

September 21, 2010

**Tajikistan Final Joint Programming Mission**  
**Terms of Reference**  
**October 4-11**

- I. The World Bank, European Development Bank (EBRD), and Asian Development Bank (ADB) will field the final Joint Programming Mission to Tajikistan under the Pilot Program for Climate Resilience, from October 4-11, 2010. The mission objective is to refine the content and implementation arrangements for a draft Strategic Program for Climate Resilience, to be considered by the PPCR sub-committee at its next meeting in November.
- II. The SPCR outlines a series of potential investment and capacity-building activities (totally \$50 million in grant financing plus additional co-financing) that will be carried out under Phase 2 of the PPCR. The SPCR reflects: (i) outcomes from previous Joint Missions, (ii) progress on Phase 1 technical assistance efforts approved in June 2010, (iii) discussions at the technical/sectoral level that have taken place over the last few months by MDB teams with their Government counterparts, and (iv) consultations with stakeholders facilitated by a team of national and international consultants (generously supported by the UK-DFID).
- III. Mission dates have been agreed to by Government (at the Deputy Prime Minister level) and will be preceded by a capacity-assessment workshop and other preparatory activities the prior week by MDB staff in country and the consulting team. The Joint Mission will include: (i) working sessions with the government Focal Point and key ministry/committee staff to discuss progress on Phase 1 and refine individual SPCR components and implementation arrangements, (ii) informational sessions and workshops with civil society, bilateral aid and international organizations and others to seek their feedback and build synergies with complimentary efforts, (iii) working sessions amongst the team to edit the full SPCR, and (iv) wrap-up meetings with senior government officials to begin the formal review and approval cycle. The mission will closely coordinate with staff of the United Nations Development Program given the agency's key role in capacity-building on climate adaptation, and possible formal engagement under the PPCR.
- IV. The mission will be based in Dushanbe but may include one day outside the capital for further consultations if needed and possible. The World Bank Country Office has graciously agreed to continue as the informal base of operations for the mission. Funding for the mission is obtained from the PPCR Trustee; channeled through the CIF Admin Unit, and supplemented in cases by MDB country or HQ programming budgets.
- V. The overall MDB coordinator and lead for the World Bank on mission is Ron Hoffer (Environment and Water Advisor, Washington DC). The lead from the ADB is Peter Hayes (Senior Climate Change Specialist, based in Manila) and for EBRD is Craig Davies (Principal Environmental Advisor, based in London). The mission will coordinate with the International Finance Corporation given their potential role on co-financing private sector investments. A final list of international and local staff comprising the mission and the first full draft of the SPCR will be available on or around September 27, 2010.

The mission will prepare a draft Aide Memoire on mission summarizing progress and next steps.



# ANNEX 7

Logical Framework

**TAJIKISTAN SPCR OVERVIEW LOGICAL FRAMEWORK\***

**Long Term Country Outcome**

- Improved quality of life for the people of Tajikistan, especially those most vulnerable to current climate variability and future climate change;
- Increased resilience in economic, social and eco-systems to climate variability & climate change through transformed social and economic development – moving from „business as usual“ development to integrate climate resilience into development plans, programmes and policies;
- Increased capacity of Government of Tajikistan to move from a reactive, donor-led approach to a proactive country-led approach and create the conditions for ownership of adaptation to climate change within Tajikistan.

**Overall Catalytic Outcome of the SPCR**

- Improved Government structures and processes to respond to climate variability & climate change through coordination of climate change activity within Tajikistan;
- Improved ability of Tajikistan's stakeholders to scale up and replicate climate resilient approaches by building on the SPCR practical experience of integrating climate resilience into development planning;
- Enhanced information base on climate change risks and improved understanding of climate change amongst a variety of stakeholders.

**Phase 2 Investment Program Components**

1 – Improvement of Weather, Climate and Hydrological Service Delivery	2 – Enhancing the Climate Resilience of the Energy Sector	3 – Building Capacity for Climate Resilience	4 – Agriculture and Sustainable Land Management	5 – Climate Science and Modelling Program	6 – Building Climate Resilience in the Pyanj River Basin	
<b>Phase 2 Investment Program Outcomes</b>						
Strengthened hydromet service delivery in Tajikistan in support of economic development And disaster risk management and climate change	Increased sustainability and climate resilience of the hydropower sector in Tajikistan through the integration of climate change analysis and climate resilience measures into hydropower investments	Strengthened government capacity for mainstreaming climate change risks into national policy and development plans, increasing the country's resilience through ( <i>inter alia</i> ) effective management of the PPCR	Increased resilience to climate change to strengthen local livelihoods, reduce hunger and restore productive natural resources	Improved capacity to conduct climate science and glaciology research, develop climate change models and interpret outputs from those models to provide policymakers with data to plan for climate change	Increased resilience of natural resources and vulnerable communities to climate induced extreme events and climate variability in Khatlon Province along the Pyanj River and its tributaries	

<b>- Phase 2 Investment Program Outputs</b>					
<ul style="list-style-type: none"> <li>- Strengthened capacity of Tajik hydromet to contribute to climate resilience.</li> <li>- Improved data collection, analysis, and information sharing with government and public.</li> </ul>	<ul style="list-style-type: none"> <li>- Climate analysis informing project design and investment decisions in the hydropower sector to optimise climate resilience.</li> <li>- More reliable, sustainable and climate-resilient power supply that will improve energy security for Tajikistan.</li> <li>- Replicable approach that can provide valuable lessons for subsequent investments in HPP rehabilitation and construction.</li> <li>- Increased capacity of Tajik authorities to conduct climate change analysis as part of HPP investment planning and mainstream its findings into the design of projects.</li> <li>- Increased leverage on policy dialogue and reforms in areas that influence the climate resilience of the energy sector overall.</li> <li>- Increased awareness of the need to consider climate change in investment planning in the hydropower sector.</li> <li>- Improved water resource management systems.</li> <li>- Small-scale HPP projects</li> </ul>	<ul style="list-style-type: none"> <li>- Training and facilitated engagement in national and international climate change events.</li> <li>- Increased awareness of a number of specific audiences, including highly vulnerable groups, civil society, private sector, educational institutions, the media and the general public.</li> <li>- Strengthened institutional and technical capacity on climate change impacts and adaptation, and mainstream climate change adaptation into national and sub-national policies, poverty reduction strategies and development plans, such as the National Climate Change Adaptation Strategy, key sector strategies and local authority's Action</li> </ul>	<ul style="list-style-type: none"> <li>- SLM strategies and practices developed &amp; adopted to help farmers and communities to adapt and become more resilient to climate change.</li> <li>- Investment in upland SLM to control and prevent land degradation.</li> <li>- Investments in irrigated agriculture are designed to address climate resilience.</li> <li>- Capacity strengthening and institutional reforms to improve hydraulic coping strategies to climate change in irrigated agriculture.</li> <li>- Rural households implement realistic, feasible field-based responses.</li> <li>- Knowledge and capacity of farmers created to transform their practices to react to CV &amp; CC.</li> </ul>	<ul style="list-style-type: none"> <li>- Dynamic downscaled modelling capacity within Hydromet to ensure the development of high resolution climate projections and impact scenarios and practical scientific knowledge to mainstream vulnerability and adaptation measures.</li> <li>- Strengthened climate science and glaciology research in Tajikistan to enhance the understanding of glacial melt and downstream impacts on water resources, and glacier-dependent infrastructure.</li> <li>- Enhanced capacity to analyse and interpret output from climate models and science.</li> <li>- Climate modelling outputs mainstreamed in development planning and capital investment decisions.</li> </ul>	<ul style="list-style-type: none"> <li>- Reduced exposure of Pyanj-based vulnerable communities to flood, mud/debris flows, landslides and other climate induced extreme events through the incorporation of sector-based climate-proofing measures in vulnerable eco-systems and critical infrastructure, with adaptive redesign and operations and maintenance protocols.</li> <li>- Reduced sensitivity to climate risks via an eco-system based approach to river basin adaptation, with special emphasis on high risk upstream (high mountain) and downstream communities.</li> <li>- Increased capacity of line ministries, local governments, and communities through climate risk</li> </ul>

	that incorporate climate analysis as part of their design.	Plans.			awareness raising, community-based learning, development and implementation of adaptive measures and disaster preparedness, adaptive policy, and knowledge dissemination.
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\* More detailed results frameworks are included in the specific annexes. These will be further refined during project design.

**Logic model – Pilot Program for Climate Resilience (PPCR)**

# ANNEX 8

[http://www.climateinvestmentfunds.org/cif/sites/climateinvestmentfunds.org/files/PPCR%207%20SPCR%20Tajikistan%20nov2010\\_0.pdf](http://www.climateinvestmentfunds.org/cif/sites/climateinvestmentfunds.org/files/PPCR%207%20SPCR%20Tajikistan%20nov2010_0.pdf)

# ANNEX 9

# CLIMATE INVESTMENT FUNDS

PPCR/SC.7/3  
October 25, 2010

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Meeting of the PPCR Sub- Committee  
Washington, D.C.  
November 10, 2010

**PPCR SEMI-ANNUAL OPERATIONAL REPORT**



**Proposed Decision by PPCR Sub-Committee**

The PPCR Sub-Committee reviewed document PPCR/SC.7/3, *PPCR: Semi-Annual Operational Report*, and welcomes the progress that has been made in advancing the work of the PPCR in the pilot countries and regions. The Sub-Committee urges countries participating in the program that have not yet submitted for endorsement their Strategic Programs for Climate Resilience and the MDBs to move expeditiously to advance their work to develop the Strategic Programs which are to form the basis for investments.

## INTRODUCTION

1. The purpose of this note is to provide the PPCR Sub-Committee with a semi-annual report on the status of PPCR activities. The last operational report was reviewed by the PPCR Sub-Committee during its meeting on October 28, 2009. Part I summarizes the status of the pilots under the PPCR. Part II provides an update on other key items that relate to the PPCR. The annex summarizes the status of PPCR activities by PPCR pilot.
2. The PPCR has the following pilots:

Country Pilots	Regional Pilots
Bangladesh	<u>Caribbean</u> Dominica Grenada Haiti Jamaica Saint Lucia Saint Vincent and the Grenadines
Bolivia	
Kingdom of Cambodia	
Republic of Mozambique	
Nepal	
Republic of Niger	
Republic of Tajikistan	<u>Pacific</u> Papua New Guinea Samoa Tonga
Yemen	
Zambia	

3. The pledging level as of September 30, 2010<sup>1</sup> to the PPCR is USD972 million. USD614 million of the pledges are grant resources and USD358 million are to be used as concessional finance.
4. During its June 2010 meeting, the Sub-Committee reviewed document PPCR/SC.6/9, *Proposal for the Allocation of Resources to PPCR Pilots*, and agreed upon the following principles to be followed in allocating grant resources under the PPCR:
  - i. Recognizing the need for funding predictability to facilitate the elaboration of an SPCR, the Sub-Committee agrees that a range of funding for each country and regional pilot should be approved as a planning tool, recognizing that the minimum amount of this range is more certain and that the upper limit of the range will depend on availability of funding;
  - ii. The Sub-Committee further recognizes that the quality of the SPCR and the proposed activities will be a significant factor in the funding to be approved by the Sub-Committee;

<sup>1</sup> Using the exchange rate of September 30, 2010.

- iii. Based on the current projections of approximately USD720million in pledged PPCR grant resources, the Sub-Committee agrees that USD600 million is a reasonable programming target, providing a reserve of USD120 million that can be released once contributions are received by the Trustee. This reserve is reflected in the upper limit of the funding ranges for country and regional pilots;
- iv. For each of the nine PPCR pilot countries, a range of USD40-50 million may be programmed through a SPCR; and
- v. For PPCR regional pilot programs, a range of USD60-75 million may be programmed per regional pilot.

5. With regards to the allocation of concessional loans available under the PPCR, the Sub-Committee confirmed that concessional loans may be requested by a pilot country or region consistent with the 2009 *Programming and Financing Modalities for the SCF Targeted Program, the Pilot Program for Climate Resilience (PPCR)* which provides:

“... in accessing concessional loans, an initial ceiling is agreed of 20% of the total available concessional finance amount per pilot program. This ceiling will be kept under review and will be reevaluated after the submission of the first three to five Strategic Programs.”

6. The Sub-Committee also agreed that no new pilot programs will be considered at this time.

## **STATUS OF PPCR COUNTRY AND REGIONAL PILOTS**

### *Country pilots*

7. Work is progressing in all of the country pilots. Scoping and joint missions have been conducted by the Multilateral Development Banks (MDBs) in partnership with country stakeholder groups and other interested partner institutions.

8. During its last meeting in June 2010, the PPCR Sub-Committee reviewed and approved five Phase 1 proposals: Bolivia, Cambodia, Mozambique, Tajikistan and Yemen. For each of these countries, USD1.5 million has been made available for assessment work and related capacity development activities that will result in the design of national Strategic Programs for Climate Resilience (SPCR).

9. The Phase 1 proposal for Zambia was endorsed during the PPCR Sub-Committee meeting in March 2010 and USD1.5million was allocated for activities supporting the development of Zambia’s Pilot Program for Climate Resilience. Nepal received an advance on the preparatory funding grant in the amount of USD225,000.

10. Two countries, Bangladesh and Niger, have advanced the preparation of the SPCR within their existing processes and resources and did not request additional support from the PPCR for phase 1.

11. Three countries have finalized their programming process and submitted their SPCR to the PPCR Sub-Committee for review and endorsement: Bangladesh, Niger and Tajikistan. Their funding requests are consistent with the June 2010 decision by the PPCR Sub-Committee mentioned above:

<b>Country</b>	<b>Grant request</b>	<b>Loan Request</b>
<b>Bangladesh</b>	\$50million	\$60million
<b>Niger</b>	\$50million	\$60million
<b>Tajikistan</b>	\$50million	-
<b>Total</b>	<b>\$150million</b>	<b>\$120million</b>

#### *Regional pilots*

12. The PPCR Sub-Committee approved on August 26, 2009, on the basis of the recommendations presented by the PPCR Expert Group and further work undertaken by the MDBs, a proposed approach and countries to be targeted in the Caribbean and Pacific programs. The selected countries within the Caribbean regional program are Haiti, Jamaica and the four small island states from the Organization of Eastern Caribbean States, (Dominica, St. Lucia, St. Vincent and the Grenadines, and Grenada). Selected counties within the Pacific Region are Papua New Guinea, Samoa, and Tonga. More specifically, it was agreed that these regional programs will be developed along two tracks which will include:

- i. country specific components in the regional country pilots, and
- ii. Region-wide activities mainly focused on climate monitoring, institutional strengthening, capacity building and knowledge sharing.

13. During its meeting in June 2010, the PPCR Sub-Committee received an update on the progress in developing the regional pilot programs and agreed:

- i. to approve the remaining phase 1 proposals through a decision-by-mail so as to expedite the processing of the remaining proposals; and
- ii. That country proposals for phase 1 activities may be submitted for approval by mail as they are ready, provided that the first proposal in a region includes a short description of the regional framework under which all country proposals are being developed.

14. The three countries participating in the Pacific Regional Program (Papua New Guinea, Samoa and Tonga) and two countries participating in the Caribbean Regional Program (Saint Lucia and Grenada) submitted their Phase 1 proposals for a decision-by-

mail. The Sub-Committee endorsed the proposals and approved the following Phase 1 budgets:

<b>Country</b>	<b>Approved Phase 1 Budget</b>
<b>Papua New Guinea</b>	\$500,000
<b>Samoa</b>	\$500,000
<b>Tonga</b>	\$250,000
<b>Saint Lucia</b>	\$315,000
<b>Grenada</b>	\$271,000

*Funding Approval Summary*

15. As of October 28, 2010, USD11 million have been approved for Phase 1 activities in 12 countries.

16. If the PPCR Sub-Committee endorses the submitted Pilot Programs for Climate Resilience for Bangladesh, Niger and Tajikistan, USD270 million will have been allocated for projects and programs addressing climate resilience priorities in these countries.

17. For more detailed information on country focal points, Joint Mission dates, Terms of Reference and mission reports and activity status information please refer to annex 1 and 2 of this document or the CIF website:  
[http://www.climateinvestmentfunds.org/cif/Joint\\_Missions](http://www.climateinvestmentfunds.org/cif/Joint_Missions)

**OTHER KEY ITEMS**

18. *PPCR Pilot Country meeting:* The third meeting of PPCR pilot countries for the PPCR will take place on November 12, 2010, in Washington D.C. The objective of this meeting is to continue “building a community of practice among the PPCR pilot countries to exchange experiences, document good practices and lessons from the design process of SPCRs”, and to reach a shared understanding of the PPCR. The meeting will be attended by representatives from the pilot countries, the PPCR Sub-Committee Members, NGOs and private sector observers to the PPCR Sub-Committee, development partners, and MDBs.

19. The program for the meeting focuses on experiences in preparing the SPCRs. Four pilot countries and one regional pilot will be invited to present the approach being followed to develop their SPCRs, the institutional, technical and financial requirements, and the major obstacles and challenges faced in the process. This will provide the basis for an in-depth discussion on the lessons learned as regards institutional coordination, the involvement of stakeholders, the consideration of ongoing adaptation activities and other issues. An opportunity for closer dialogue will be made available through break-out group discussions.

20. A report on highlights from this meeting will be presented to the Sub-Committee.

## Annex 1: Focal Points and Key Milestones for PPCR Pilots

### Bangladesh

Country Focal Point:	Mr. Arastoo Khan Additional Secretary, Economic Relations Division, Ministry of Finance Email: arastookhan3@gmail.com  Mohammad Nasir Uddin Joint Secretary (Development) Ministry of Environment and Forest Email: jsdev@moef.gov.bd, nasbil56@yahoo.com
MDBs:	ADB, IBRD, IFC
Approval date for Phase 1 proposal:	Not requested
Expected submission date for SPCR:	October 2010 for consideration by the Sub-Committee in November 2010
Expected submission dates of projects under the SPCR:	For IBRD supported project, expected PCN submission is September 2011
Joint Mission dates:	February 1-4, 2010 August 23 –September 2, 2010

### Bolivia

Country Focal Point:	Ms. Cynthia Silva Maturana Vice Minister Ministry of Environment and Water Resources Environment, Biodiversity and Climate Change Email: silvacynthiavm@gmail.com
MDBs:	IADB, IBRD, IFC
Approval date for Phase 1 proposal:	June 2010
Expected submission date for SPCR:	October 2011
Expected submission dates of projects under the SPCR:	Not yet known
Joint Mission dates:	February 1-12, 2010

November 2010  
January 2011  
June 2011

### **Kingdom of Cambodia**

Country Focal Points: H.E. Mok Mareth  
Minister of Environment and Chairperson of the National  
Committee on Climate Change (NCCC)  
Email: moe-cabinet@camnet.com.kh

Mr. Chan Sothy (Lead)  
Director, Department of Investment and Cooperation  
MEF  
Email: chan\_sothy@online.com.kh

Mr. Sam Chamroeun  
Director, Department of Planning and Legal Affairs  
Ministry of Environment  
Email: sam\_chamroeun@hotmail.com

MDBs: ADB, IBRD, IFC

Approval date for Phase 1 proposal: June 2010

Expected submission date for SPCR: October 2011

Expected submission dates of projects under the SPCR: not yet known

Joint Mission dates: October 12-22, 2009  
May 2011

### **Republic of Mozambique**

Country Focal Point: Ms Anselmina Liphola  
Director for Environmental Affairs  
Ministry of Coordination of Environmental Issues  
Email: minaliphola@yahoo.com.br

MDBs: AfDB, IBRD, IFC

Approval date for Phase 1 proposal: June 2010

Expected submission date for SPCR: April 2011

Expected submission dates of projects under the SPCR: November 2011

Joint Mission dates: November 30-December 11, 2009  
February 2011

## **Nepal**

Country Focal Point: Mr. Purushottam Ghimire  
Joint Secretary of Ministry of Environment  
Kathmandu, Nepal  
Email: puru@most.gov.np; purughimire@yahoo.com  
(pending confirmation)

MDBs: ADB, IBRD, IFC

Approval date for Phase 1 proposal: March 2010

Expected submission date for SPCR: January 2011

Expected submission dates of projects under the SPCR: To be confirmed

Joint Mission dates: September 3-9, 2010  
November 15-21, 2010

## **Republic of Niger**

Country Focal Point: Mr. Malam Gata Zouladaini  
Head, Office for Development Affairs  
Ministry of Economy and Finance  
Email: malam\_gataz2007@yahoo.fr

MDBs: AfDB, IBRD, IFC

Approval date for Phase 1 proposal: Not requested

Expected submission date for SPCR: October 2010 for consideration by the Sub-Committee in November 2010

Expected submission dates of projects under the SPCR:

Joint Mission dates: October 26-27, 2009  
September 27 – October 8, 2010



## Republic of Tajikistan

Country Focal Point: Mr. Kurbonbekov Jumabek  
Deputy Head, Department for Environment Protection and  
Emergency Situations Executive Office of the President  
Email: jkurbonbekov@gmail.com

MDBs: EBRD, IBRD, IFC

Approval date for Phase 1 proposal: June 2010

Expected submission date for SPCR: October 2010 for consideration by the Sub-  
Committee in November 2010

Expected submission dates of projects under the SPCR: To be confirmed

Joint Mission dates: October 12-22, 2009  
October 4-10, 2010

## Yemen

Country Focal Points: H.E. Abdul Kareem Al-Arhabi  
Deputy Prime Minister for Economic Affairs  
Minister of Planning and International Cooperation  
(MOPID), and Managing Director of Social Fund for  
Development (SFD)  
Sana'a, Republic of Yemen  
Fax: 967-1-250665

H.E. Abdul Rahman Fadel Al-Eryani  
Minister of Water and Environment  
Sana'a, Republic of Yemen  
Email: aferyani@socotraisland.org, aferyani@gmail.com,  
minister@mweye.org

Mahmood Shidewa  
Chairman  
Ministry of Water and Environment  
Environmental Protection Authority (EPA)  
Email: mahshidiwa@yahoo.com

Anwar Noaman  
Climate Change Focal Point  
Ministry of Water and Environment  
Environmental Protection Authority (EPA)  
Email: anwar.noaman@gmail.com

MDBs: IBRD, IFC  
Approval date for Phase 1 proposal: June 2010  
Expected submission date for SPCR: March 2011  
Expected submission dates of projects under the SPCR: to be confirmed  
Joint Mission dates: November 14-24, 2009  
March 2011

## Zambia

Country Focal Point: Ms. Monde F. Sitwala  
Deputy Director  
Economic and Technical Cooperation  
Ministry of Finance and National Planning  
Lusaka, Zambia  
Fax: 260-211-251078

MDBs: AfDB, IBRD, IFC  
Approval date for Phase 1 proposal: March 2010  
Expected submission date for SPCR: March 2011  
Expected submission dates of projects under the SPCR: December 2011  
Joint Mission dates: November 16-27, 2009  
November 2010,  
February 2011,  
May 2011

## Caribbean (Dominica, Grenada, Haiti, Jamaica, Saint Lucia, Saint Vincent and the Grenadines)

Country Focal Points:

### HAITI

Mr. Gerard Jean Baptiste  
Secrétaire Exécutif du Comité  
Interministeriel d'Aménagement du  
Territoire (CIAT)  
E-mail:  
[Gerald.heanbaptiste@primature.gouv.ht](mailto:Gerald.heanbaptiste@primature.gouv.ht)

### JAMAICA

Ms. Claire Bernard  
Director, Sustainable Development and Regional  
Planning, Planning Institute of Jamaica,  
16 Oxford Road, Kingston 5, Jamaica W.I.  
Email: [Claire\\_Bernard@pioj.gov.jm](mailto:Claire_Bernard@pioj.gov.jm)

**DOMINICA**

Mr. Samuel Carette  
Permanent Secretary  
Ministry of Agriculture and  
Forestry/Ministry of Environment,  
Natural Resources, Physical Planning  
and Fisheries  
Email: [minagriculture@cwdom.dm](mailto:minagriculture@cwdom.dm)

**ST. LUCIA**

Mr. Anthony Isaac  
Permanent Secretary  
Ministry of Finance  
Email: [ianthony@gosl.gov.lc](mailto:ianthony@gosl.gov.lc)

**GRENADA**

Mr. Timothy Antoine  
Permanent Secretary  
Ministry of Finance  
Email: [timothy.antoine@gov.gd](mailto:timothy.antoine@gov.gd)

Ms. Barbara Scott

Director  
Planning Institute of Jamaica  
External Cooperation Management Division  
Email: [Barbara\\_Scott@pioj.gov.jm](mailto:Barbara_Scott@pioj.gov.jm)

Mr Hopeton Peterson

Manager  
Planning Institute of Jamaica  
Jamaica Sustainable Development and Regional  
Planning  
Email: [hopeton\\_peterson@pioj.gov.jm](mailto:hopeton_peterson@pioj.gov.jm)

**ST. VINCENT AND THE GRENADINES**

Mrs. Laura Anthony-Browne  
Director of Planning, Ministry of Finance and  
Economic Planning  
E-mail: [cenplan@vincysurf.com](mailto:cenplan@vincysurf.com)

MDBs: IADB, IBRD, IFC

Expected submission date for Phase 1 proposal:

- Saint Lucia, submitted and approved in October 2010
- Grenada, submitted and approved in October 2010
- Saint Vincent and the Grenadines, expected for submission in October 2010
- Haiti
- Jamaica

Expected submission date for SPCR:

- Saint Lucia, February 2011
- Grenada, February 2011
- Saint Vincent and the Grenadines, February 2011
- Haiti
- Jamaica

Expected submission dates of projects under the SPCR:

- Grenada, May 2011
- Saint Vincent and the Grenadines May 2011
- Saint Lucia, June 2011
- Haiti
- Jamaica

Joint Mission dates: Jamaica: July 12-16, 2010, first quarter 2011

Haiti: June 7-12, 2010; first quarter 2011  
Grenada: August 30-31, 2010, January 2011  
Saint Vincent and the Grenadines: August 26-27, 2010,  
January 2011  
Saint Lucia: August 9-11, 2010, January 2011  
Regional: June 14-15, 2010

Comments:

Dominica has not yet engaged actively in the process.

**Pacific (Papua New Guinea, Samoa, Tonga)**

Country Focal Points:

**PAPUA NEW GUINEA**

Mr. Joseph Lelang  
Secretary  
Department of National Planning and  
Monitoring  
P.O. Box 631, Vulupundi Haus (3<sup>rd</sup> Floor)  
Papua New Guinea  
Fax: 675 328 8384 / 8399

Dr. Wari Iamo  
Acting Executive Director/Secretary and  
GEF Focal Point Office of Climate  
Change and Environment  
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Environment and Conservation

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**SAMOA**

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**TONGA**

Mr. Asipeli Palaki  
Acting Director, Ministry of Environment and  
Climate Change  
E-mail: a\_palaki@yahoo.com

Ms. Luisa Tuiafitu Malolo  
Coordinator, Second National Communication  
on Climate Change  
Ministry of Environment and Climate Change  
E-mail: ltvuiafitu@yahoo.com

Mr. Aisake Eke  
Alternate Governor for Tonga in the Asian  
Development Bank/Secretary for Finance and  
Planning  
Ministry of Finance and Planning  
Email: aeke@finance.gov.to;  
npalu@finance.gov.to; uvakauta@pmo.gov.to

MDBs:

ADB, IBRD, IFC

Submission date for Phase 1 proposal:

all three countries – approved in October 2010

Expected submission date for SPCR:

Papua New Guinea: June, 2011  
Tonga: June 2011  
Samoa: April 2011

Expected submission dates of projects under the SPCR:

Samoa: December 2011  
Tonga: September 2011  
Papua New Guinea: September 2011

Joint Mission dates:  
2011

Papua New Guinea: May 10-14, 2010, March  
Tonga: May 17-19, 2010; March 2011  
Samoa: June 7-11, 2010, April 2011

## Annex 2: Status of Activities in PPCR Pilots

Country Pilots	PPCR – Phase/Status	Components of phase 1	Progress/achievements/ highlights	Next steps
<b>Bangladesh</b>	<p>No Phase 1 funding</p> <p>SPCR submitted to CIF AU on October 18, 2010</p> <p>SPCR to be presented at Nov SC meeting</p>	N/A	<ul style="list-style-type: none"> <li>- 1st Joint Mission: 1-11 February 2010</li> <li>- Focal point is Ministry of Environment and Forests</li> <li>- As Bangladesh is quite advanced in terms of analysis and strategies, B. felt that phase 1 support is not needed; the process has built on the BCCSAP and narrowed activities to coastal zones</li> <li>- Good participation/outreach to other agencies within government; good collaboration other DP, especially UNDP and DFID; many represented in first mission and added to AM</li> <li>- 2nd Joint Mission took place Aug. 22 to Sept 2, 2010 to consult on and finalize the draft SPCR with following components:               <ol style="list-style-type: none"> <li>1. Climate resilient agriculture and food security (IFC)</li> <li>2. Coastal embankment and afforestation in 12 polders (WB)</li> <li>3. Coastal climate resilient water supply and infrastructure improvement (ADB)</li> <li>4. Capacity Building for mainstreaming resilience and KM (ADB)</li> <li>5. Feasibility Study on climate resilient housing (IFC)</li> </ol> </li> <li>- Requested financing envelope for SPCR investment program: US\$ 50 million grant and US\$ 60 million PPCR concessional loan; expected co-financing: US\$ 515 million from WB and ADB; possibly additional from other partners</li> </ul>	<p>SPCR to be presented at November Sub-Committee meeting</p>
<b>Bolivia</b>	<p>Phase 1 prop approved in June 2010;</p> <p>Grant agreement is in process &amp; should be signed by early November</p>	<p>Strengthening the information system and database to support decision making</p> <p>Integration of climate resilience in planning, investment, and public management</p>	<p>National Program for Climate Change in the Ministry of Environment in lead</p> <p>Interaction with the other sectors needs further strengthening during the implementation of Phase 1</p> <p>PPCR preparation process benefited from other related activities that the MDBs are undertaking: non-lending technical assistance on climate change and water management; a study on the economic cost of adaptation; work on disaster management preparation; and support to environmental policy preparation</p>	<p>Next missions planned for January 2011 and June 2011</p> <p>Expected date for submission of SPCR October 2011</p>

Country Pilots	PPCR – Phase/Status	Components of phase 1	Progress/achievements/ highlights	Next steps
<b>Cambodia</b>	Phase 1 proposal approved in June 2010; GA between Government and World Bank is being signed	Sectoral, Territorial and National implementation strategy for climate resilience  National Level mainstreaming of Climate resilience in key ministries (strengthening institutional readiness to mainstream climate risks)  Sub-national Mainstreaming of climate risks  Strengthening civil society and private sector engagement and gender considerations in climate change adaptation	First Joint Mission October 12 – 22, 2009 (earlier informal scoping mission funded by country team resources enabled outreach, very important given newness of PPCR; began discussion on possible PPCR activities; opportunity for discussion with donor partners; good preparation for joint mission  There has been fairly strong local ownership (MoE in lead), engendered by the process for preparing Phase 1 which was very participatory. UNDP supported the process  Final Phase 1 Proposals include setting up civil society platform  Linkages established with the Cambodia Climate Change Alliance, a multi donor supported program	2 <sup>nd</sup> JM May 2011  SPCR expected in Oct 2011
<b>Mozambique</b>	Phase 1 proposal approved in June 2010; GA is within final stages/expected to be signed in November	Mainstreaming climate change in central budget and planning  Mainstreaming climate change in territorial sectoral investments (three	The SPCR aims to incorporate climate risk into priority planning and decision making processes in key sectors including transport and agriculture.  It is proposed to invest in the four NAPA priorities (strengthening early warning systems; strengthening the capacity of farmers to deal with climate change; reduction of the impacts of climate change along the coastal zone; and water resources management) in three different pilot poles: the Zambezi basin where the main risks are both floods and droughts, the Limpopo watershed where the main risk is drought, and the coastal Town of Beira or	SPCR expected to be submitted April 2011

Country Pilots	PPCR – Phase/Status	Components of phase 1	Progress/achievements/ highlights	Next steps
Nepal	Phase 1 initial funds of 225 K approved in March 2010; executed by ADB	<p>poles: Zambezi and Limpopo basin and coastal town of Beira)</p> <p>Mainstreaming climate change in private sector</p> <p>Initial funds for Phase 1 (\$225,000) being used for consulting services to prepare SPCR, including scoping, review , analysis and integration of ongoing plans and programs</p> <p>Proposed areas to explore/consider incl: IWRM, agriculture, institutional strengthening, development planning, infrastructure, knowledge, urban sector and private sector</p>	<p>possibly an alternative vulnerable coastal town where the main risks are floods, storm surges and cyclones.</p>	
		<p>Joint Mission in Sept 2009</p> <p>Approval of Initial Phase 1 TA (\$225,000) gave the Government the resources needed to own and lead the process</p> <p>NPC is playing a key role in guiding the initiative and MOE acting as the focal agency. Numerous line Ministries, including Finance, are taking an active role</p> <p>Steering Committee has been established and meets regularly, and a group of interested donors is briefed monthly (by SPCR consultant within government)</p>		<p>Expected to submit additional phase 1 request for TA work</p> <p>Expected to update the PPCR-SC on the process and emerging SPCR priorities at the Nov. 2010 meeting</p> <p>Tentative dates for 2<sup>nd</sup> Joint Mission: 14 – 19 November 2010;</p> <p>Expected submission of the SPCR proposal to the PPCR-SC in January 2011</p>



Country Pilots	PPCR – Phase/Status	Components of phase 1	Progress/achievements/ highlights	Next steps
<b>Niger</b>	SPCR submitted on October 21, 2010 for presentation at Nov SC meeting	N/A	<p>The SPCR comprises three inter-related pillars:</p> <ol style="list-style-type: none"> <li>1. Integrate resilience to climate variability and change into development strategies and planning</li> <li>2. Scale-up innovative or proven approaches which increase resilience and reduce vulnerability of households and farmer organizations to climate shocks</li> <li>3. Knowledge management &amp; support strategic program coordination</li> </ol> <p>Three projects are proposed under the SPCR (additional finance to existing operations):</p> <ol style="list-style-type: none"> <li>1. Project for the Improvement of Climate Forecasting Systems and Operationalization of Early Warning Systems (AfDB/IFC)</li> <li>2. Project for Sustainable Management and Control of Water Resources (AfDB/IFC)</li> <li>3. Community Action Project for Climate Resilience (PACRC) (WB/IFC)</li> </ol> <p>Requested funding envelope: USD 50 million grant, and USD 60 million concessional loan</p>	Presentation of SPCR at the November PPCR-SC Meeting in
<b>Tajikistan</b>	Phase 1 prop approved in June 2010  SPCR submitted on October 20, 2010 for presentation at November Sub-Committee meeting	Review of institutional arrangements and capacity needs  Climate Science and Impact Modeling  Raising awareness of climate change in Tajikistan  Identifying options for enhancing the climate resilience of energy Sector (incl. Hydro Power)	<ul style="list-style-type: none"> <li>- Leadership from Deputy Prime Minister</li> <li>- PPCR process greatly strengthened collaboration process across MDBs beyond PPCR</li> <li>- Availability of DFID consultants to aid MDBs and GoT has been instrumental</li> <li>- UNDP to take on phase 1 institutional analysis and awareness raising activities (with PPCR resources through a GA between the WB and UNDP based on existing MoU)</li> <li>- SPCR includes the following investments: <ul style="list-style-type: none"> <li>1 - Improvement of Weather, Climate and Hydrological Service Delivery (WB)</li> <li>2 - Enhancing the Climate Resilience of the Energy Sector (EBRD)</li> <li>3 - Building Capacity for Climate Resilience(ADB)</li> <li>4 - Agriculture and Sustainable Land Management (WB)</li> <li>5 - Climate Sciences and Modeling Program (ADB)</li> <li>6 - Building Climate Resilience in the Pyanj River Basin (ADB)</li> </ul> </li> </ul> <p>Requested funding envelope: USD 47.5 million grant (based on draft SPCR).</p>	Presentation of SPCR at November PPCR Sub-Committee meeting

Country Pilots	PPCR – Phase/Status	Components of phase I	Progress/achievements/ highlights	Next steps
<b>Yemen</b>	Phase I proposal approved in June 2010; Grant agreement has been signed between Government and WB	<p>Analysis of sustainable land management approaches for changing climatic conditions</p> <p>Analysis of river basin approaches to climate resilience</p> <p>Climate Change Information System and Awareness Raising</p> <p>Mainstreaming Climate Change Resilience into National Development Planning</p> <p>Formulation of Yemen's SPCR and Identification of Phase II Interventions</p> <p>PPCR Program Coordination</p>	<p>High level political commitment towards the PPCR in Yemen shown through the formation of the Inter-ministerial Committee for Climate Change (IMCCC) chaired by the Deputy Prime Minister</p> <p>Development of SPCR and early identification of Phase 2 investments ongoing; expected funding request will be \$110 M (of which USD 50 million grant and USD 60 million concessional finance)</p> <p>Proposed priority investments to be developed: Water, Agriculture, Coastal Zone as key sectors, + Climate Inf. Systems &amp; Enabling context (consistent with NAPA); possible DPG</p>	<p>Coordinator/PIUs staff under recruitment to support phase 1 implementation; RFP for larger consultancies to be launched shortly</p> <p>Draft SPCR will be available March 2011</p>

Country Pilots	PPCR – Phase/Status	Components of phase 1	Progress/achievements/ highlights	Next steps
Zambia	<p>Phase 1 prop approved in March 2010;</p> <p>GA signed and phase 1 under implementation</p>	<p>Mainstreaming Climate resilience into national development planning</p> <p>Preparation for Phase II identification of a programmatic FW that supports climate resilience</p> <p>Improved information for decision makers</p> <p>Targeted awareness and communication</p>	<p>First country to submit phase 1 proposal and sign GA for phase 1</p> <p>Innovative use of crowd sourcing during last mission which was highlighted in Bank's kiosk and good story for annual report</p> <p>PPCR coincides and takes advantage of opportunity of mainstreaming of CR in the 6<sup>th</sup> National Development Plan and mainstreaming in sectoral plans.</p> <p>Three themes emerging in Zambezi Basin: (i) Strengthened Climate Information (note use of open source software for spatial info mgt in extreme events etc.); (ii) Climate Resilient Infrastructure (note idea of Output and Performance Based Contracts to assure CR is taken into account down the line in terms for maintenance); (iii) Sustainable Ag (incl. interest on index weather insurance). PPCR and UN also assisting in Climate Change and DRM national platform, and expected to assist in strengthening Zambia's capacity to access future climate funds.</p> <p>Draft new Sixth National Development Plan (under finalization) has comprehensively mainstreamed climate resilience into national economic planning.</p> <p>Growing interest by potential partners to participate in the SPCR, including private sector, UN, Red Cross, Google, NASA, WorldFish, UNCCD Global Mechanism, and civil society. Crowdsourcing along three thematic areas will continue to be encouraged.</p>	<p>Next mission in Nov 2010</p> <p>SPCR aimed for submission in March 2011</p>

Regional pilots	PPCR – Phase/Status	Components of phase 1	Progress/achievements/ highlights	Next steps
<b>Caribbean</b> (Haiti, Jamaica, and 4 OECS countries: St. Lucia, Dominica, Grenada, and St. Vincent & Grenadines)	Phase 1 prop. for St. Lucia approved on October 20, 2010  Phase 1 prop. for Grenada approved on October 20, 2010  Internal draft phase 1 proposal for Haiti  Internal draft phase 1 proposal for Jamaica	<b>St Lucia:</b> 1. TA to support preparation of SPCR 2. Various assessments and studies 3. Build capacity in data management 4. Data capture & analysis of CC adaptation resources 5. Coordination and Facilitation <b>Grenada:</b> 1. Various assessments and studies for prep of SPCR 2. Public education and outreach 3. Capacity building in data management and knowledge generation 4. Data capture and analysis of climate change adaptation resources <b>Samoa</b> - Phase 1 proposal components: Acquiring and Dissemination of Policy-relevant information  Climate Change Mainstreaming and Empowerment	<b>Jamaica:</b> - Broad agreement on areas of engagement: Water resources, agriculture, food security, health, human settlement, coastal zone protection  <b>Haiti:</b> - Phase 1 is building on the PDNA  <b>St Lucia:</b> - First within Caribbean to submit phase 1  <b>Dominica:</b> - PPCR was strongly endorsed by government; yet process after that has been slow and no JM has been invited yet  <b>Grenada:</b> - Joint Mission on August 30-31, 2010  <b>St Vincent and the Grenadines:</b> - Joint Mission on 26-27 Aug 2010 - CC highlighted in the national Development Plan	St Lucia – SPCR expected in February 2011  Grenada – SPCR expected in February 2011  St Vincent and the Grenadines – SPCR expected February 2011
<b>Pacific</b> (Papua New Guinea, Tonga Samoa)	Phase 1 proposal for three countries approved on October 15, 2010	<b>Samoa</b> : possible components for SPCR: 1. Enhancing resilience of social sector – primary health care and resilience of school buildings 2. Sustainable Land Management and biofuels, power sector efficiency and resilience; climate smart tourism development 3. CIM plan review and implementation, Ecosystems based adaptation, Strengthened DRM - CC Adaptation TF  <b>Tonga:</b> Joint mission in May; Phase 1 proposal submitted in 2 <sup>nd</sup> JM:	Consultations on regional program took place in Nadi 14/15 Oct. with 14 countries and three regional organizations (PIFS, SPREP, SPC/SOPAC) and key donors invited	Consultations on regional program took place in Nadi 14/15 Oct. with 14 countries and three regional organizations (PIFS, SPREP, SPC/SOPAC) and key donors invited  2 <sup>nd</sup> JM:

		<p>Preparation of the National Climate Change Program</p> <p>Preparation for Phase 2</p> <p><b>Tonga, PNG:</b> Phase 1 components:          Institutional capacity to mainstream CR and DRM across government agencies and strategies</p> <p>Strengthen civil society, community and private sector engagement and gender considerations</p> <p>Formulate SPCR, incl. awareness raising and outreach on the impacts of CC and importance of CR in planning responses</p>	<p>September 2010 and approved on October 15, 2010. Builds on Tonga's existing CC Adaptation and Disaster Risk Management Plan.</p>	<p>Tonga and PNG March 2011; Samoa April 2011</p> <p>Expected submission of SPCRs:          &gt;Samoa: April 2011;          &gt;Tonga &amp; PNG: June 2011</p>
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# ANNEX 10

[http://www.climateinvestmentfunds.org/cif/sites/climateinvestmentfunds.org/files/CIF\\_PartnershipForumProceedings9-17-10.pdf](http://www.climateinvestmentfunds.org/cif/sites/climateinvestmentfunds.org/files/CIF_PartnershipForumProceedings9-17-10.pdf)

# ANNEX 11

## Declaration of Participants of the Conference “Climate Change Problem and Public Participation” and recommendations of Public Organizations on realization Pilot Program of Climate Resilience in Tajikistan

10 ноября 2010

Tajikistan’s public organizations are satisfied with Tajikistan’s willingness to participate in the Pilot Program for Climate Resilience (PPCR) and support its goals: integration of adaptation issues and climate sustainability into national policy and development plans aimed at poverty reduction and sustainable development.

Priority sectors that are most vulnerable to the consequences of climate change have been defined as a result of cooperation between PPCR Consultative Group, Multilateral banks and governmental organizations.

Unfortunately, neither public organizations nor NGOs were involved into the development of Phase 1 and were quite late invited to mechanism of consultations. Only several Tajik NGOs were invited to consultations and their involvement had formal character (participation in two seminars) since they had no preliminary access to required information that would allow them to introduce constructive proposals and comments to Phase 1. Thus, there was a concern over quite poor cooperation between Multilateral banks and civil society organizations.

In their assessment of the project’s Phase 1 public organizations pointed out insufficient attention paid to involvement of target groups and reduction of vulnerability of population. They also mentioned that principal directions of program activity were mainly aimed at further implementation of existing projects of ministries and multilateral banks with slight “climatic rebranding”.

It should be noted that substantial experience of both NGOs and communities, which includes traditional knowledge about the use of environment, preservation of biodiversity, forest protection, water saving technologies, renewable types of energy and etc, is not taken into account and insufficiently assessed.

Public organizations also showed that very important directions, which are closely linked to protection of population of the country from climate threats and which include public health, access to clear drinking water, food security, reduction of socio-economic losses for farmers and population, were simply “dropped out” of the PPCR. Public organizations have also expressed concern over energy saving issues, energy efficient construction, development of alternative energy sources and delivery of energy to remote energy users as well as programs of wide development of greenhouses, establishment of insurance mechanisms in agriculture and disaster risk management.

In the course of preparation of the draft version of the Strategic Program for Climate Resilience (SPCR) representatives of public organizations were invited for discussion of investment programs of Phase 2 which were developed by multilateral banks and governmental institutions without participation of public organizations. The investment pack included 6 project proposals worth 50mln USD. These projects are planned to be implemented within the next 3-5 years.

### **Principal recommendations are listed below:**

#### **General:**

- 
- Organization of regular and more wide and constructive consultations and discussions by Multilateral banks and responsible governmental structures with representatives of civil society, communities and etc.



- 
- Lack of design of the majority of projects in Phase 2 does not allow to evaluate the efficiency of the proposed actions or their impact. Logical frameworks of all project proposals should be based on achievement of sustainable human development and reduction of vulnerability of population. These aspects require concrete indexes and indicators to demonstrate both social and economic benefits for target groups.
- Benefits can be shown in the form of economic calculations and expected data on the number of vulnerable communities, women, villages, energy users, users of climate information and etc.
- 
- Development of SPCR's coordination mechanism, which involves civil society organizations into decision making mechanism is another important achievement of a dialogue between PPCR Mission, the Government and community.
- However, there is a need to develop functions and authorities for coordinating and public committees, develop cooperation between all chains of the Coordinating mechanism: interministerial committee, secretariat, multilateral banks, technical group and coordinating committee. This mechanism will ensure effective use of funds, share of experience and knowledge, transparency in decision making procedures and overall efficiency.
- NGOs believe that representatives of Health Ministry and Ministry of Labor and Social Protection, Civil Defense and Emergency Situations Committee should be invited to the Coordinating Committee.
- 
- Monitoring should be performed by coordinating committee, which should include representatives of public organizations, multilateral banks, Government and other stakeholders on equal basis, not by the secretariat (which ensures coordination, reporting, links and education).
- 
- In River Basin Management (**Climate Resilience Approaches to River-basin Investments**) and Land Management projects (**Agriculture and Sustainable Land Management**) it is important to attract communities to assessment of vulnerability, risk analysis, planning and implementation of project activity. Both knowledge and potential of local communities will play important role for mapping and inventory of vulnerable sections as well as for planning and management of land resources.
- 
- In river basin pek (**Climate Resilience Approaches to River-basin Investments**) and land management projects (**Agriculture and Sustainable Land Management**) we should encourage best practices and initiatives of farms, community-based organizations and NGOs on land management, introduction of water saving technologies and provide small grants for land resource and river basin management programs. These original and unique practices, innovations and practices of traditional sustainable use of environment should be distributed at the expense of SPCR's funds.
- 
- Projects on strengthening and improvement of services and climate, weather (**Improvement of Weather, Climate and Hydrological Service Delivery**) and modeling (**Climate Science and Impact Modeling Partnership**) should focus on access of population to climate related information, short and long-term forecasts and agroforecasts. To do that, rural population and farmers should be provided with these forecasts through radio broadcasts, mobile phones and other simple forms. It is also important to create climate change models in a format that would be used at both academic and local level by local government structures, communities and private investors.

- 
- In the project aimed at strengthening of adaptation in energy sector (**Enhancing the Climate Resilience of the Energy Sector**) it would be more useful to create a new infrastructure for development of small hydropower sector, solar energy and implement a series of practical projects in the field of energy saving or renewable energy sources, e.g. “1000 warm buildings” or “1000 solar photovoltaic roofs”.
- 
- In terms of capacity building for adaptation (**Building Capacity for Climate Resilience**) and raise of awareness on climate change it would be useful to use experience and skills of NGOs which implement their climatic programs in collaboration with international organizations at community and youth level as well as among responsible organizations and decision makers. Creation of demonstration plots and information and education centers in communities would also let improve the country’s adaptation potential.
- Tajikistan’s public organizations are interested in constructive dialogue on the development of SPCR in Tajikistan and are open for cooperation with multilateral banks, Government and international organizations for implementation of the program and its monitoring.

### **Participants of the “Climate Change Problem and Participation of Society” conference:**

**Dushanbe, October 30, 2010**

#### **Public organizations of Tajikistan:**

Latifi Alikhon - Club of Ecological NGOs of RT  
 Yuri Skochilov - Youth Ecological Center  
 Nabiev Umed - Youth Ecological Center  
 Timur Idrisov - «Little Earth»  
 Alikhanova Tatyana - Club of Ecological NGOs of Tajikistan  
 Burhanova Muazama - NGO “Fund supporting civil initiatives»  
 Jumaeva Svetlana – “Climate change and disaster risk reduction center”  
 Partoev Kurbonali - «Cooperation for development»  
 Ulugov Umed - «Youth of 21<sup>st</sup> century»,  
 Blagoveshenksaya Svetlana - «Kukhiston» fund  
 Kabutov Kurbon - «Oftob»  
 Gupalov Andrey - «Zumrad»  
 Novikova Tatyana - NGO «Noosphere»  
 Prudskih Dmitry - Youth group on environmental protection, Hudjand  
 Kajumov Djamshed - Development agency «Nau», Hudjand  
 Khotamova Toshburi., NGO «Hamdilon», Shaartuz  
 Bobobev Hamza, Development center of communities, Nosiri-Husrav  
 Mamadaliev Bahrom – “Tabiati Toza”  
 Kaumov Abdulhamid – International Institute of Human ecology  
 Sharipov Azizbek – National Association of farmers of RT  
 Chino Badoyan – “Mehrangez”, Bohtar  
 Roziya Alieva – “CAMP – Kuhiston”  
 Aminov Umed – Society of Red Crescent of RT  
 Mahmadalieva Muhabbat – “Zan va Zamin”

# ANNEX 12

**Thank you for taking the time to answer the following questions!**

**PPCR process in TJ**

What is your role in the implementation of PPCR in TJ?

What do you think about PPCR in TJ?

What are the key achievements to date?

What are the main challenges?

What are the lessons learnt?

Do you have regular access to the PPCR TJ documents (reports, TORs, presentations etc.)

Does the PPCR Phase I meet the expectations? Deadlines?

Do you have any comments/recommendations on PPCR Phase I implementation in TJ?

**Stakeholder participation**

How selection of Tajikistan as pilot country was communicated to the public, stakeholders etc.?

What do you think about participation of broader stakeholders as well as civil society in the PPCR consultation process? (i.e academia, local NGO's, community organisations, private sector etc).

How the poor and vulnerable communities were addressed?

How is the private sector involved in the PPCR process?

How the PPCR documents, experiences, lessons learned shared with public?

Do you see improvements of stakeholder participation especially starting from joint mission 1 to 2? (if yes, please describe how)

If there is insufficient stakeholder participation, what is the reason?

What would you recommend to improve the stakeholder participation, if it is insufficient?

### **Strategic Program for Climate Resilience TJ (SPCR)\ Prioritization planning**

What was the process of arriving at a list of interventions?

What was the role of civil society in that process?

What was the basis for prioritization done (e.g. most vulnerable groups of society, National Strategies, Plans etc.)?

Are you satisfied with the priorities identified for Phase II? If no, please describe why?

Do you have any specific comments/recommendations on the Phase II priorities?

What is your opinion about the Strategic Program for Climate Resilience for Tajikistan?

Do you have any comments/recommendations on the SPCR TJ?

### **Integration of adaptation into other policy documents for development planning.**

How the PPCR ensures integration of CC adaptation into development planning?

### **Role of MDBs**

How would you describe the role of MDBs in the PPCR process?

Do you have any comments/recommendations on this?

### **Steering/Coordination mechanisms**

How is the PPCR Steering/coordination mechanism organised?

Do you have any comments/recommendations on the Steering/Coordination mechanisms?

### **Monitoring and Evaluation**

What are the PPCR Monitoring and Evaluation frameworks/mechanisms?

What are the outcomes of the PPCR Phase I you know about?

Are there clear indicators allowing measuring the Phase I and Phase II projects impact?

### **Local capacity building**

Who developed the ideas for the initiatives?

Did the Phase 1 activities lead to increased capacities within local institution (s)? (if, yes please provide details: who? how?)

### **Any other comments:**

# ANNEX 13

List of people interviewed:

Oct-Nov, 2010

<b>Name</b>	<b>Organisation</b>	<b>Position</b>
Jumabek Kurbonbekov	Department for Environment Protection and Emergency Situations under the Executive Office of the President	Deputy Head of the Department
Ilhom Rajabov	State Administration for Hydrometeorology	Centre for Climate Change
Alisho Shomahmadov	Committee for Emergency Situations	Head of Information and Analytical Centre
Kurbonjon Kabutov	Academy of Sciences Physicotechnical Institute	Head of the Center for Research and Use of Renewed Energy sources
Abdullaev S.	Academy of Sciences Institute of Physics	Deputy head of laboratory
Muhabbatov Kh.	Academy of Sciences Natural resources	Head of Department
Ronald Hoffer	World Bank	Environment and Water Adviser, Europe and Central Asia Region (overall MDB coordinator)
Nicolas Perrin	World Bank	Seniour Social Development Specialist, Social Developemtn
Craig Davis	European Bank of Reconstruction and Development	Principal Environmental Adviser, Environment and Sustainability Department
Peter J.Hayes	Asian Development Bank	Senior Climate Change Specialist, Country Coordination and Regional Cooperation Division, CWRD
Amanda Duff	UK Department for International Development	Infrastructure and Environment Adviser, Country Operations Group
Gaia Alison	UK Department for International Development	Livelihoods Adviser at DFID Tajikistan
Annamarie Schneider	Swiss Agency for Development and Cooperation	Head of Regional Disaster Risk Reduction Programme Central Asia
Manzura Nazaramonova	Swiss Agency for Development and	National Programme Officer,



	Cooperation	Regional Disaster Reduction Programme for Central Asia
Sukhrob Khoshmukhamedov	United Nations Development Programme in Tajikistan	Programme Coordinator/ Assistant Resident Representative/ Programme
Joachim – F.Kirchhoff	Gesellschaft für Technische Zusammenarbeit (GTZ)	Environmental Adviser
Malik Ajani	INGO FOCUS	Senior Program Officer
Imomberdi Berdov	INGO FOCUS	National Program Officer
Irina Stavchuk	National ecological centre of Ukraine	Climate change program coordinator
Andy Baker	Oxfam GB in Tajikistan	Country Director
Madina Aliberdieva	Oxfam GB in Tajikistan	Programmes Coordinator, Disaster Preparedness and Climate Change Adaptation
Umida Tulieva	Oxfam GB in Tajikistan	Program Officer , Climate Change Advocacy

<p>Participation at the Conference on “Climate Change and SCO participation” in Dushanbe, October 2010 (interviews)</p> <p>Climate Network – Network of Local Eco-Ngo’s</p>	<p>Local NGO’s Tajikistan (around 15 NGO’s)</p> <p>Latifi Alikhon - Club of Ecological NGOs TJ</p> <p>Yuri Skochilov - Youth Ecological Center</p> <p>Nabiev Umed - Youth Ecological Center</p> <p>Timur Idrisov - Little Earth</p> <p>Alikhanova Tatyana - Club of Ecological NGOs TJ</p> <p>Burhanova Muazama - Fund supporting civil initiatives</p> <p>Jumaeva Svetlana – Centre for Climate Change and DRR</p> <p>Partoev Kurbonali - Cooperation for development</p> <p>Ulugov Umed - Youth of 21<sup>st</sup> century</p> <p>Blagoveshenksaya Svetlana - Kukhiston fund</p> <p>Kabutov Kurbon - Oftob</p> <p>Gupalov Andrey - Zumrad</p> <p>Novikova Tatyana - Noosphere</p> <p>Prudskih Dmitry - Youth group on environmental protection</p> <p>Kajumov Djamshed - Development agency «Nau»</p> <p>Khotamova Toshburi., Hamdilon</p> <p>Bobobev Hamza, Development center of communities</p> <p>Mamadaliyev Bahrom – Tabiati Toza</p> <p>Kaumov Abdulhamid – Internat. Institute of Human ecology</p> <p>Sharipov Azizbek – National Association of farmers of RT</p> <p>Chino Badoyan – Mehrangez</p> <p>Roziya Alieva – CAMP – Kuhiston</p> <p>Aminov Umed – Society of Red Crescent of RT</p> <p>Mahmadaliyeva Muhabbat – Zan va Zamin</p>
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# ANNEX 14

## Stakeholders who attended consultation events during MDB joint missions

<b>Stakeholder</b>	<b>First JM (12<sup>th</sup> to 22<sup>nd</sup> October 2009)</b>	<b>Phase 1 grant proposal and informal Consultations (October 2009 to September 2010)</b>	<b>Second JM (4<sup>th</sup> to 11<sup>th</sup> October 2010)</b>
<b>Ministries and Departments</b>			
Agency of Geology	✓		
Committee on Environmental Protection	✓	✓	✓
Executive Office of the President (Focal Point)	✓	✓	✓
State organization for Hydrometeorology	✓	✓	✓
Deputy Prime Minister	✓	✓	✓
Ministry of Water and Melioration	✓	✓	✓
State Committee of Investments	✓	✓	
Ministry of Agriculture	✓	✓	✓
Ministry of Energy and Industry	✓	✓	✓
Committee for Emergency Situation	✓	✓	✓
Ministry of Economy	✓	✓	✓
Tajik Branch of Executive office of Aral Fund	✓		
Ministry of Transport	✓	✓	
Ministry of Finance	✓	✓	
Academy of Science	✓	✓	✓
University of Bern / Tajikistan Academy of Agricultural Science	✓		✓
Ministry of Health	✓	✓	✓
<b>Academics / Research</b>			
State National University		✓	
State Agricultural University		✓	

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State Technical University		✓	
Tajik Medical University	✓		
<b>Donor organisations</b>			
World Bank (WB)	✓	✓	✓
Asian Development Bank (ADB)	✓	✓	✓
European Bank of Reconstruction and Development (EBRD)	✓	✓	✓
International Finance Corporation (IFC)		✓	✓
UK Department for International Development (DFID)	✓	✓	✓
Gesellschaft für Technische Zusammenarbeit (GTZ)	✓	✓	✓
Swiss Development Corporation (SDC)	✓	✓	✓
Swedish International Development Agency (SIDA)	✓	✓	✓
JICA (Japan International Co-operation Agency)	✓		✓
European Commission	✓		✓
<b>International Organisations</b>			
UNDP / UNEP	✓	✓	✓
Centre of Competence for Disaster Reduction	✓		✓
Food and Agriculture Organisation (FAO)	✓	✓	✓
World Health Organisation (WHO)		✓	✓
The Organization for Security and Co-operation in Europe (OSCE)	✓	✓	✓
<b>Civil Society</b>			
Focus Humanitarian Assistance		✓	✓
International Alert		✓	
ACTED		✓	✓
OXFAM		✓	✓
Christian Aid		✓	✓
Tajik Climate Network	✓	✓	✓

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Network for sustainable development of Central Asia		✓	✓
NGO „Little Earth“	✓	✓	✓
NGO "Noosphere"	✓	✓	✓
NGO"Tarakkiet"	✓	✓	✓
Tajik Socio-Ecological Union	✓	✓	✓

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