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Investir dans les populations rurales

## **Rapport du Président**

### **Proposition de prêt et de don relevant du Cadre pour la soutenabilité de la dette**

#### **République du Tadjikistan**

#### **Projet communautaire d'appui renforcé au secteur agricole**

Numéro du projet: 200002204

#### **Note à l'intention des représentants au Conseil d'administration**

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Pour: **Approbation**

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### Équipe d'exécution du projet

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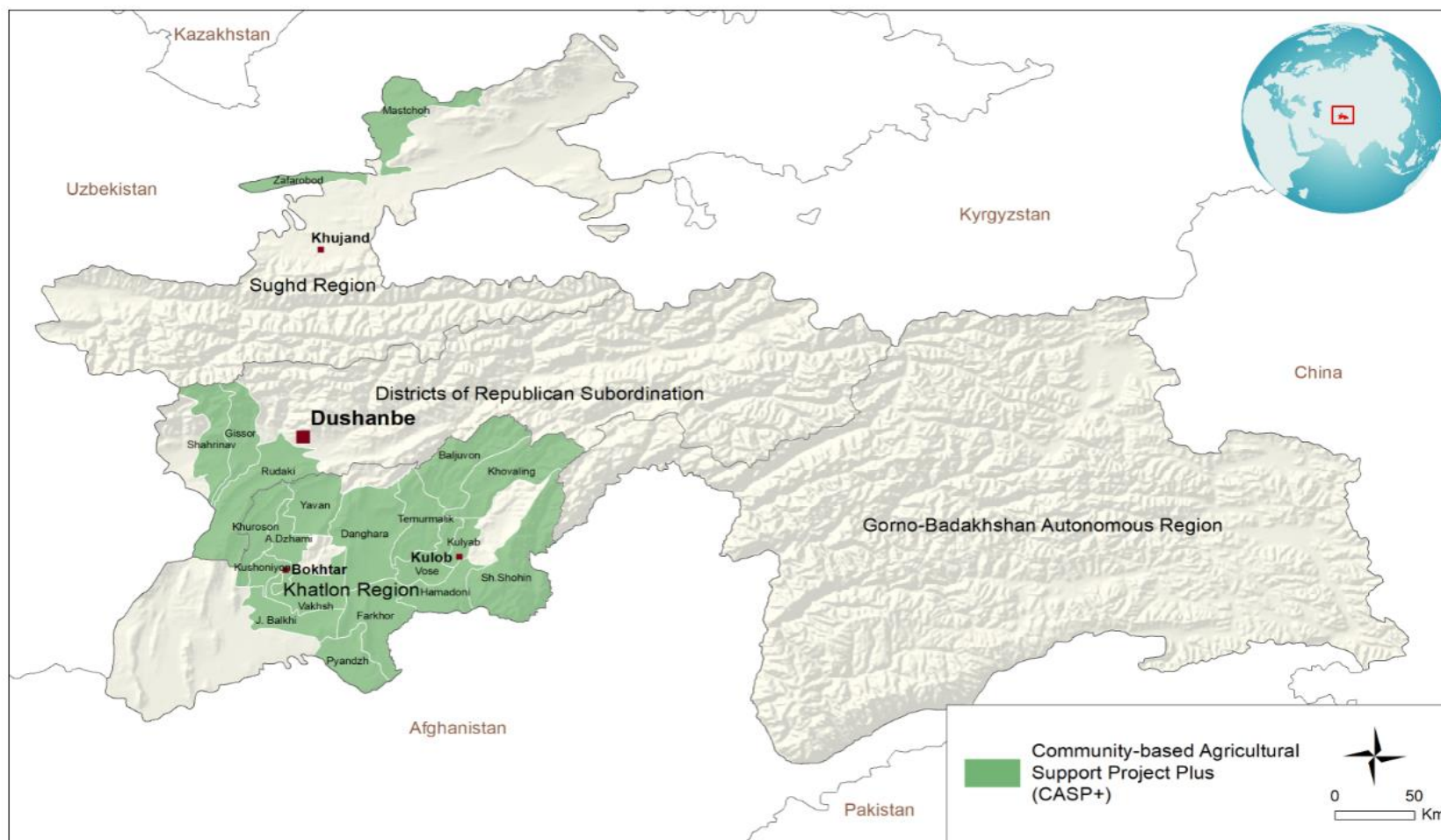
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## **Sigles et acronymes**

CASP+	Projet communautaire d'appui renforcé au secteur agricole
CEP	Commission de la protection de l'environnement
CSD	Cadre pour la soutenabilité de la dette
FAO	Organisation des Nations Unies pour l'alimentation et l'agriculture
FVC	Fonds vert pour le climat
PIB	produit intérieur brut
PTBA	plan de travail et budget annuel
SEPMU	entreprise publique faisant office d'unité de gestion des projets de développement de l'élevage et des pâturages
TRE	taux de rentabilité économique

## Carte de la zone du projet



Source: FIDA; 23/09/2021

Les appellations figurant sur cette carte et sa représentation graphique ne constituent en aucun cas une prise de position du FIDA quant au tracé des frontières ou limites, ou aux autorités de tutelle des territoires considérés.

## Résumé du financement

<b>Institution initiatrice:</b>	FIDA
<b>Emprunteur/Bénéficiaire:</b>	République du Tadjikistan
<b>Organisme d'exécution:</b>	Ministère de l'agriculture
<b>Coût total du projet:</b>	98,2 millions d'USD
<b>Montant du prêt du FIDA:</b>	6,75 millions d'USD
<b>Conditions du prêt du FIDA:</b>	Particulièrement concessionnelles: délai de remboursement de 40 ans, y compris un différé d'amortissement de 10 ans. Le prêt sera exempt d'intérêt, mais comportera une commission de service fixe déterminée par le Fonds à la date d'approbation du prêt par le Conseil d'administration, qui sera exigible chaque semestre dans la monnaie de paiement des frais de service du prêt.
<b>Montant du don du FIDA relevant du Cadre pour la soutenabilité de la dette:</b>	6,75 millions d'USD
<b>Cofinanceurs:</b>	Organisation des Nations Unies pour l'alimentation et l'agriculture (FAO), Commission de la protection de l'environnement (CEP) et Agence gouvernementale des forêts (SFA)
<b>Conditions du cofinancement:</b>	CEP: 0,89 million d'USD (en nature) SFA: 0,89 million d'USD (en nature) FAO: 0,16 million d'USD (en nature)
<b>Contribution de l'Emprunteur/du Bénéficiaire:</b>	15,9 millions d'USD
<b>Contribution des bénéficiaires:</b>	4,5 millions d'USD
<b>Secteur privé:</b>	0,06 million d'USD
<b>Déficit de financement:</b>	62,3 millions d'USD
<b>Montant du financement climatique accordé par le FIDA:</b>	13,01 millions d'USD
<b>Institution coopérante:</b>	FIDA

## Recommandation pour approbation

Le Conseil d'administration est invité à approuver la recommandation telle qu'elle figure au paragraphe 68.

### I. Contexte

#### A. Contexte national et justification de l'intervention du FIDA

##### Contexte national

1. Le Tadjikistan est un pays enclavé qui comptait 9 313 800 habitants en 2020, dont 74% vivant en milieu rural. Avec un produit intérieur brut (PIB) par habitant estimé à 874 USD en 2020, il s'agit du pays le plus pauvre des anciennes républiques soviétiques. Son PIB s'élevait à 8,12 milliards d'USD en 2019, l'agriculture représentant 20% de ce total. L'envoi de fonds par des ressortissants tadjiks travaillant à l'étranger représente 28% du PIB, l'un des taux les plus élevés au monde.
2. La Stratégie nationale de développement (2016-2030) vise à améliorer le niveau de vie de la population. Même si la pauvreté a diminué de façon importante au cours des dix dernières années, notamment grâce aux revenus du travail et aux transferts de fonds provenant de l'étranger, le Tadjikistan fait partie des pays à faible revenu et à déficit vivrier depuis 2019<sup>1</sup>. Des inquiétudes subsistent concernant la soutenabilité du modèle de croissance du pays, qui repose sur les transferts de fonds émis par ses ressortissants. La pandémie de COVID-19 a nui de façon significative à l'économie du pays, entraînant notamment un ralentissement de la croissance du PIB réel à 4% au cours des neuf premiers mois de 2020, contre 7,2% en 2019.
3. **Pauvreté.** Selon des calculs basés sur le seuil de pauvreté national, le taux d'incidence de la pauvreté atteint 26,3% à l'échelle du pays (Banque mondiale) et 36,1% en milieu rural, tandis que 10,7% de la population se trouve en situation d'extrême pauvreté<sup>2</sup>. Le Tadjikistan a fixé le seuil de pauvreté à un niveau de consommation mensuel de 162 somoni (TJS) (14,34 USD), le seuil de vulnérabilité à 230 TJS (20,37 USD), et le seuil d'appartenance à la classe moyenne à 294 TJS (26,04 USD)<sup>3</sup>.
4. **Secteurs de l'agriculture et de l'élevage.** L'agriculture représente 19,8% du PIB et fournit 60,8% des emplois. Malgré l'importance capitale de ce secteur, la surface de terres arables est limitée, au même titre que les investissements dans les infrastructures, les équipements et les machines agricoles.
5. Le **secteur de l'élevage** joue un rôle important dans l'économie agraire du Tadjikistan. Les changements climatiques (en particulier la hausse des températures et la réduction de l'approvisionnement en eau) ont des effets sur la production animale (par exemple en raison de la diminution de la disponibilité de pâturages).

##### Aspects particuliers relatifs aux questions que le FIDA doit transversaliser en priorité

6. **Genre.** L'extrême pauvreté est marquée par des différences profondes entre les hommes et les femmes. Environ un tiers des ménages extrêmement pauvres sont

<sup>1</sup> Banque mondiale.

<sup>2</sup> TajStat, 2020.

<sup>3</sup> TajStat, 2015.

dirigés par une femme<sup>4</sup>. Les ménages dirigés par une femme représentent 9% de l'ensemble des ménages, mais 30% des ménages pauvres. La proportion de femmes travaillant dans le secteur agricole est élevée (75% de la main-d'œuvre féminine). En raison des normes sociales dominantes, des mesures proactives doivent être mises en place afin d'assurer la participation réelle des femmes tadjikes dans les sociétés rurales. Au Tadjikistan, les femmes occupent seulement un siège parlementaire sur cinq<sup>5</sup>.

7. **Chômage des jeunes.** Le taux de chômage des jeunes (entre 15 et 24 ans, en âge de travailler) s'élève à 20,9%<sup>6</sup>. Selon une étude de la Banque mondiale sur la résolution des défis de la création d'emplois de meilleure qualité au Tadjikistan<sup>7</sup>, seulement 43% de la population tadjike en âge de travailler fait partie de la population active. La majorité des travailleurs occupent un emploi n'offrant pas une rémunération suffisante dans le secteur informel.
8. **Nutrition.** Le Tadjikistan est en bonne voie pour réaliser les objectifs fixés au niveau international concernant la réduction de la prévalence du surpoids et du retard de croissance chez les enfants de moins de 5 ans, mais en mauvaise voie pour atteindre les objectifs concernant tous les autres indicateurs pour lesquels des données suffisantes sont disponibles.
9. **Profil climatique.** Les changements climatiques représentent une menace sérieuse, car le pays y est fortement exposé et sa capacité d'adaptation est faible. Au Tadjikistan, on observe de plus en plus d'épisodes de sécheresse, une hausse des températures et une variabilité interannuelle importante. La moyenne des températures augmente dans l'ensemble du territoire.
10. **Analyse de la vulnérabilité aux changements climatiques.** L'analyse de l'indice de vulnérabilité climatique (comprenant des variables climatiques et socioéconomiques) présentée dans les Procédures d'évaluation sociale, environnementale et climatique du FIDA fait état d'un degré de vulnérabilité élevé dans tout le pays, en particulier dans l'est et le centre de la région de Khatlon et dans le sud-est de la région de Sughd.
11. **Tendances en matière d'émissions.** Au Tadjikistan, 52% des émissions de gaz à effet de serre proviennent des activités agricoles, 28,5% du secteur de l'énergie, 10% de l'industrie et 9,5% des déchets. La grande majorité des émissions liées à l'agriculture (environ 5,5 millions de tonnes d'équivalent dioxyde de carbone en 2018) provient de la fermentation entérique et d'une mauvaise gestion des effluents d'élevage<sup>8</sup>.
12. Conformément aux engagements en matière de transversalisation pris au titre de la Onzième reconstitution des ressources du FIDA, le projet a été classé comme:
  - axé sur le climat;
  - axé sur les jeunes.

#### **Justification de l'intervention du FIDA**

13. Les conséquences des changements climatiques et des mauvaises pratiques d'élevage posent des défis immenses pour les écosystèmes et les populations rurales vulnérables. De nouvelles mesures d'encouragement et d'incitation sont nécessaires afin de remplacer les pratiques non durables actuellement en usage dans les zones rurales par des moyens d'existence productifs et durables. Les systèmes de production doivent être adaptés afin de gérer les risques climatiques et de renforcer les services écosystémiques. Grâce aux autres projets que le FIDA a exécutés dans le pays, le Fonds possède des avantages comparatifs dans les domaines suivants: i) une vaste expérience d'investissement en faveur des populations rurales vulnérables; ii) l'appui à une meilleure gestion collective des

<sup>4</sup> Programme des Nations Unies pour le développement (PNUD), 2015.

<sup>5</sup> PNUD, 2020.

<sup>6</sup> Banque mondiale, 2020.

<sup>7</sup> Banque mondiale, 2017.

<sup>8</sup> Base de données statistiques de l'Organisation des Nations Unies pour l'alimentation et l'agriculture (FAO).

ressources naturelles; iii) le renforcement systématique et l'établissement d'institutions rurales afin d'améliorer l'efficacité des investissements réalisés à l'échelle locale.

14. Par le passé, le FIDA a utilisé la méthode des plans d'action communautaires dans le cadre d'investissements communautaires dans les zones rurales vulnérables et le secteur de l'élevage, une expérience dont le Fonds pourra tirer parti (voir la section « Enseignements tirés » ci-après). Les plans d'action communautaires ont permis de générer une croissance rurale inclusive: ils constituent une plateforme efficace de concertation sur les politiques et de réforme. Grâce à l'appui et au cofinancement du Fonds vert pour le climat (FVC) et à des synergies avec d'autres activités de gestion intégrée des ressources naturelles, le Projet communautaire d'appui renforcé au secteur agricole (CASP+) s'appuiera sur les atouts du FIDA à grande échelle en utilisant les changements climatiques comme point de départ de l'intervention.

## **B. Enseignements tirés**

15. Depuis 2008, le FIDA a investi 80 millions d'USD dans quatre projets au Tadjikistan, dont ont bénéficié de façon directe 128 000 ménages. Dans le cadre du Projet d'appui aux moyens de subsistance dans la région du Khatlon, des organisations villageoises ont défini et exécuté des activités d'investissements collectifs à l'aide de fonds du projet et d'organisations villageoises (après l'adoption de plans d'action communautaires participatifs), ce qui a entraîné une hausse de 40% de l'indice des biens des ménages. La méthode des plans d'action communautaires a également été appliquée lors des phases I et II du Projet de développement de l'élevage et des pâturages, qui a conduit à l'établissement de 400 unions d'usagers des pâturages afin de résoudre le problème de la dégradation des terres et d'améliorer la gestion des pâturages collectifs. La formation de ces groupements est un succès notable, et ces derniers ont renforcé la capacité des villages à gérer les dotations en ressources collectives de façon durable, entraînant une augmentation de 15% de la productivité des pâturages dans une zone de 74 592 hectares. La valeur du projet a ainsi été démontrée non seulement en matière de productivité agricole, mais également de gestion des ressources naturelles collectives. La phase actuelle d'exécution du projet est également fondée sur la méthode des plans d'action communautaires.
16. Les résultats ont été très bien accueillis par le Gouvernement tadjik et ont constitué, pour le FIDA, une plateforme de production des connaissances et de concertation sur les politiques dans l'optique de l'exécution du CASP+ et de la réalisation de ses ambitions, en particulier en matière d'adaptation aux changements climatiques et de gestion des ressources naturelles.
17. Parmi les principaux enseignements tirés des projets du FIDA, on notera en outre qu'il est important de fournir une assistance technique aux agriculteurs et aux entreprises agricoles afin d'éclairer leurs décisions relatives aux technologies propices à la résilience climatique, d'améliorer l'accès aux équipements et de renforcer les capacités de gestion des éleveurs.

## **II. Description du projet**

### **A. Objectifs, zone d'intervention et groupes cibles**

18. Le CASP+ a pour objet d'élargir la zone d'intervention et la portée de la phase I du Projet communautaire d'appui au secteur agricole (CASP). Cette nouvelle intervention s'appuie sur les enseignements tirés du portefeuille de projets du FIDA au Tadjikistan et sur son expérience fructueuse en matière d'initiatives participatives auprès des populations locales.
19. L'objectif du CASP+ est de contribuer à la transition du pays vers des trajectoires de développement durable à faibles émissions et l'adoption de pratiques de production agricole adaptées aux conditions climatiques. L'objectif du CASP+ en matière de développement est de renforcer la résilience des écosystèmes et des



moyens d'existence dans les zones rurales touchées par les changements climatiques.

20. La **zone d'intervention** couvre 21 districts, dont 16 sont situés dans la région de Khatlon, 3 dans la Région de subordination républicaine et 2 dans la région de Sughd. Les principaux groupes cibles sont les communautés pauvres et les ménages dont les moyens d'existence sont sévèrement touchés par les changements climatiques.
21. **Ciblage et inclusion sociale.** Le projet s'appuiera sur des méthodes d'autociblage et de ciblage direct dans le but d'atteindre 650 000 personnes, notamment: i) des hommes, des femmes et des jeunes vivant bien en dessous du seuil de pauvreté; ii) des hommes, des femmes et des jeunes pratiquant une agriculture de subsistance ou de semi-subsistance, notamment les personnes qui souhaitent se tourner vers une production plus commerciale; iii) les personnes sous-employées et les jeunes travailleurs indépendants des zones rurales.
22. La sélection des bénéficiaires sera réalisée par l'entremise: i) d'une campagne de mobilisation; ii) d'un examen des ressources; iii) de la contribution de leaders et de comités communautaires locaux, accompagnée d'une vérification sur le terrain.
23. L'égalité femmes-hommes sera promue et la participation des jeunes sera prise en compte dans chaque activité. Des études du contexte et des formations tenant compte des questions de genre seront réalisées afin de garantir une représentation adéquate des femmes et des jeunes dans les activités du projet.

## **B. Composantes, résultats et activités**

24. Le projet comprend trois composantes: i) renforcer les capacités du secteur public afin d'assurer une gestion des ressources naturelles porteuse de transformations et résiliente face aux changements climatiques; ii) investir dans le renforcement des capacités d'adaptation des communautés et de leur résilience face aux changements climatiques; iii) améliorer les moyens d'existence afin de renforcer la résilience au moyen d'approches fondées sur le marché.
25. **Composante 1: renforcer les capacités du secteur public afin d'assurer une gestion des ressources naturelles porteuse de transformations et résiliente face aux changements climatiques.** Cette composante vise à: i) renforcer les capacités des institutions nationales aux fins d'une gestion des ressources naturelles résiliente face aux changements climatiques; ii) créer un environnement favorisant une gestion des pâturages, de la foresterie et des animaux d'élevage inclusive, intégrée et adaptée aux conditions climatiques.
26. **Composante 2: investir dans le renforcement des capacités d'adaptation des communautés et de leur résilience face aux changements climatiques.** Cette composante vise à: i) élaborer 400 plans d'action communautaires tenant compte des enjeux climatiques fondés sur 21 évaluations du climat réalisées à l'échelle des districts; ii) mettre en œuvre ces plans et faire en sorte qu'ils profitent à 100 000 ménages ruraux.
27. **Composante 3: améliorer les moyens d'existence afin de renforcer la résilience au moyen d'approches fondées sur le marché.** Cette composante vise à renforcer la capacité des petits exploitants agricoles à définir des systèmes de production diversifiés, résilients face aux changements climatiques et reliés aux filières locales et nationales, et à investir dans ces systèmes. Les résultats visés sont les suivants: i) la prestation de services de santé animale à 105 600 petits éleveurs; ii) des alliances productives entre des groupes d'éleveurs et des grossistes du secteur privé; iii) une augmentation de la production résiliente face aux changements climatiques et un renforcement des liens avec le secteur privé au bénéfice de 12 400 petits exploitants.
28. Le CASP+ sera exécuté par l'entreprise publique faisant office d'unité de gestion des projets de développement de l'élevage et des pâturages (SEPMU) relevant du Ministère de l'agriculture, l'équipe d'exécution du projet rattachée à la Commission

de la protection de l'environnement (CEP), et l'Organisation des Nations Unies pour l'alimentation et l'agriculture (FAO).

### C. Théorie du changement

29. Le Tadjikistan est fortement vulnérable aux chocs climatiques, qui nuisent aux écosystèmes et aux populations rurales vulnérables et accentuent la pauvreté et l'exclusion sociale. Les conséquences de ces chocs sont aggravées par le manque de prise en compte de l'évolution du climat dans la planification communautaire et les décisions relatives aux moyens d'existence, ainsi que par l'absence d'intégration au marché. La hausse des températures menace la productivité agricole et modifie les régimes pluviométriques, ce qui perturbe les campagnes agricoles et les modes d'exploitation des pâturages. Le pays doit renforcer sa capacité à appuyer une transition durable vers des moyens d'existence résilients face aux changements climatiques, et à investir en faveur des communautés touchées par des chocs climatiques. Par le passé, des projets axés sur l'élevage ont permis d'introduire des approches « participatives et fondées sur le partenariat » novatrices, qui s'appuient sur les modes d'utilisation coutumiers et la coopération entre les éleveurs et les agriculteurs. Le CASP+ vise à supprimer les principaux obstacles au renforcement de la résilience de la population rurale face aux changements climatiques. En parallèle, le projet optimisera le potentiel de piégeage du carbone des populations rurales en traitant les aspects suivants: i) les politiques et la gouvernance des écosystèmes; ii) les savoirs et les capacités; iii) l'entrepreneuriat privé, les liens avec les marchés et l'inclusion sociale.

### D. Alignement, appropriation et partenariats

30. **Conformité avec les objectifs de développement durable.** Le CASP+ contribuera de façon directe à la concrétisation des objectifs de développement durable n<sup>os</sup> 1, 2, 5, 12, 13 et 15. De façon spécifique, le projet concourra à la réalisation des objectifs 1 (Pas de pauvreté) et 2 (Faim zéro) grâce à des investissements ciblant les populations très vulnérables et visant à améliorer les moyens d'existence en mettant l'accent sur la résilience face aux changements climatiques. L'amélioration des moyens d'existence fait partie des résultats attendus les plus importants.
31. **Conformité avec les priorités nationales.** Le CASP+ a été intégré au programme de travail national de l'autorité nationale désignée du FVC, et tient compte des priorités nationales liées aux contributions déterminées au niveau national (CDN) du Tadjikistan. Le CASP+ est également conforme à la Stratégie de réduction des risques de catastrophe 2019-2030, au Programme de réforme du secteur de l'eau 2016-2025, au projet de stratégie de développement du secteur forestier (2016-2030), à la dernière mouture de la loi sur les pâturages, au Programme global relatif au développement de l'élevage 2018-2022 et au Plan national d'investissement agricole 2021-2030 en cours de mise au point.
32. **Conformité avec les politiques et les priorités institutionnelles du FIDA.** Le CASP+ s'inscrit dans le droit fil de l'objectif global du programme d'options stratégiques pour le pays, qui vise à réduire la pauvreté rurale et à améliorer la sécurité alimentaire, ainsi que de ses deux objectifs stratégiques. Le projet contribuera directement à la réalisation des trois objectifs stratégiques du Fonds, qui sont étroitement liés et se renforcent mutuellement, comme énoncé dans le Cadre stratégique du FIDA 2016-2025: i) renforcer les capacités productives des populations rurales pauvres; ii) accroître les avantages que les populations rurales pauvres tirent de leur intégration au marché; iii) renforcer la viabilité environnementale et accroître la résilience au changement climatique des activités économiques des populations rurales pauvres.
33. **Appropriation par le pays.** Le CASP+ répond aux besoins correspondant aux priorités du pays en matière d'adaptation aux changements climatiques et d'atténuation de leurs effets. Il contribue également à la mise en œuvre de la CDN et de la Stratégie nationale pour l'adaptation aux changements climatiques de la

République du Tadjikistan à l'horizon 2030, ainsi qu'à la réalisation de leurs objectifs en matière d'atténuation et d'adaptation.

34. **Harmonisation et partenariats.** L'exécution du CASP+ réunira le Ministère de l'agriculture, la CEP et la FAO, renforçant ainsi la collaboration opérationnelle entre les organismes ayant leur siège à Rome. La CEP est un partenaire essentiel de l'exécution du projet. Elle est bien placée pour orienter les discussions à l'échelle nationale et locale afin d'améliorer la prise en compte du climat dans l'environnement réglementaire et le cadre d'action et d'investissement du projet. De la même manière, la FAO possède une vaste expérience d'interventions dans le domaine des changements climatiques à l'échelle mondiale et collabore avec la CEP dans le cadre d'un programme national de préparation à la gestion de financements climatiques, notamment actuellement sur la révision de la CDN et d'autres projets.
35. De plus, le projet établira une collaboration étroite avec des partenaires de développement prenant part à des initiatives pour le climat dans le pays.

## **E. Coût, avantages et financement**

### **Coût du projet**

36. On estime à 98,2 millions d'USD le montant total des dépenses d'investissement et des dépenses récurrentes supplémentaires du projet, y compris les imprévus techniques et hausses de prix. Les provisions pour aléas d'exécution et aléas financiers représentent moins de 1% du coût total du projet. Ces dernières tiennent principalement au fait que les investissements liés à la mise en œuvre des plans d'action communautaires soucieux du climat, à l'octroi de dons et au financement d'alliances productives représentent environ 75% du coût total du projet (exprimés en montant forfaitaire, hors aléas).

### **Stratégie et plan de financement et de cofinancement**

37. Le CASP+ sera financé par un prêt et un don relevant du Cadre pour la soutenabilité de la dette (CSD), chacun égal à 6,75 millions d'USD. La contribution de la FAO s'élève à 0,16 million d'USD, tandis que le Gouvernement tadjik contribuera à hauteur de 15,0 millions d'USD sous la forme d'allègements fiscaux. Les bénéficiaires apporteront quant à eux 4,5 millions d'USD. Par ailleurs, le projet recevra des contributions additionnelles de 0,90 million d'USD sous forme de paiements en nature provenant du Ministère de l'agriculture, de 0,06 million d'USD provenant du secteur privé, de 0,89 million d'USD provenant de la CEP, et de 0,89 million d'USD provenant de l'Agence gouvernementale des forêts. Le déficit de financement est estimé à 62,3 millions d'USD, dans l'attente du cofinancement que devrait apporter le FVC sous la forme d'un don de 30 millions d'USD et d'un prêt de 9 millions d'USD. La proposition de financement du FVC devrait être approuvée durant le deuxième trimestre de 2022.

### **Décaissement**

38. Le CASP+ aura une durée de sept ans. Le ratio des investissements par rapport aux coûts récurrents est de 96:4. Les principales catégories de dépenses relevant des coûts d'investissement sont les travaux de génie civil, les biens, équipements et services, les dons, les formations et ateliers, l'assistance technique et les études. Les principales catégories de coûts récurrents sont les salaires, les traitements et les indemnités, et les frais de fonctionnement.
39. Le projet disposera de systèmes distincts mais intégrés pour la gestion des flux financiers, la budgétisation et la comptabilité de manière à pouvoir établir une piste d'audit claire et vérifiable. À cette fin, des comptes désignés seront ouverts pour le prêt du FIDA, le don du FIDA, les contributions des bénéficiaires et les fonds de contrepartie du Gouvernement tadjik. La SEPMU et l'équipe d'exécution du projet tiendront à jour les informations relatives à l'utilisation de toutes les sources de fonds dans leur système comptable.

40. La SEPMU et l'équipe d'exécution du projet établiront les demandes de retrait suivant la modalité des fonds renouvelables, et transmettront des rapports financiers intermédiaires dans le cadre du mécanisme de présentation de rapports.

Tableau 1  
**Coût du projet par composante et par source de financement**  
(en milliers d'USD)

Composante	Don relevant du CSD		Prêt		Déficit de financement		FAO		Autres sources de financement		Total	
	Montant	%	Montant	%	Montant	%	Montant	%	Montant	%	Montant	%
1. Renforcer les capacités du secteur public afin d'assurer une gestion des ressources naturelles porteuse de transformations et résiliente face aux changements climatiques	477	18,5	-	-	1 884	73,0	81	3,1	141	5,4	2 584	2,6
2. Investir dans le renforcement des capacités d'adaptation des communautés et de leur résilience face aux changements climatiques	4 191	6,2	525	0,8	47 304	70,0	-	-	15 379	22,8	67 398	68,6
3. Améliorer les moyens d'existence afin de renforcer la résilience au moyen d'approches fondées sur le marché	-	-	6 225	25,7	11 873	49,0	79	0,3	6 054	24,9	24 231	24,7
4. Gestion du projet	2 082	52,3	-	-	1 233	31,0	-	-	667	16,7	3 981	4,1
<b>Total</b>	<b>6 750</b>	<b>6,9</b>	<b>6 750</b>	<b>6,9</b>	<b>62 294</b>	<b>63,5</b>	<b>160</b>	<b>0,2</b>	<b>22 241</b>	<b>22,6</b>	<b>98 194</b>	<b>100,0</b>

Tableau 2  
**Coût du projet par catégorie de dépenses et par source de financement**  
(en milliers d'USD)

Catégorie de dépenses	Don relevant du CSD		Prêt		Déficit de financement		FAO		Autres sources de financement		Total	
	Montant	%	Montant	%	Montant	%	Montant	%	Montant	%	Montant	%
I. Dépenses d'investissement												
A. Contributions en nature	-	-	-	-	-	-	-	-	2 101	100	2 101	2,1
B. Travaux de génie civil, biens, équipement et services	4 740	5,7	6 750	8,1	52 113	62,6	-	-	19 559	23,5	83 162	84,7
C. Assistance technique et études	166	2,5	-	-	6 406	96,5	66	1,0	-	-	6 638	6,8
D. Autres dons	-	-	-	-	960	100	-	-	-	-	960	1,0
E. Formation et ateliers	147	10,3	-	-	1 188	83,1	94	6,6	-	-	1 429	1,5
<b>Total des dépenses d'investissement</b>	<b>5 053</b>	<b>5,4</b>	<b>6 750</b>	<b>7,2</b>	<b>60 666</b>	<b>64,3</b>	<b>160</b>	<b>0,2</b>	<b>21 659</b>	<b>23</b>	<b>94 290</b>	<b>96,0</b>
II. Dépenses récurrentes												
A. Contributions en nature	-	-	-	-	-	-	-	-	581	100	581	0,6
B. Salaires, traitements et indemnités	1 386	64,8	-	-	753	35,2	-	-	-	-	2 139	2,2
C. Frais de fonctionnement	311	26,2	-	-	875	73,8	-	-	-	-	1 185	1,2
<b>Total des dépenses récurrentes</b>	<b>1 697</b>	<b>43,5</b>	<b>-</b>	<b>-</b>	<b>1 628</b>	<b>41,7</b>	<b>-</b>	<b>-</b>	<b>581</b>	<b>14,8</b>	<b>3 905</b>	<b>4,0</b>
<b>Total</b>	<b>6 750</b>	<b>6,9</b>	<b>6 750</b>	<b>6,9</b>	<b>62 294</b>	<b>63,5</b>	<b>160</b>	<b>0,2</b>	<b>22 241</b>	<b>22,6</b>	<b>98 194</b>	<b>100,0</b>

Tableau 3  
**Coût du projet par composante et par année**  
(en milliers d'USD)

Composante	Année 1		Année 2		Année 3		Année 4		Année 5		Année 6		Année 7		Total	%
	Montant	%	Montant	%	Montant	%	Montant	%	Montant	%	Montant	%	Montant	%		
1. Renforcer les capacités du secteur public afin d'assurer une gestion des ressources naturelles porteuse de transformations et résiliente face aux changements climatiques	382,0	4,4	627,5	3,9	382,2	2,0	311,6	1,5	369,9	2,0	286,1	2,1	224,9	13,7	2 584,3	2,6
2. Investir dans le renforcement des capacités d'adaptation des communautés et de leur résilience face aux changements climatiques	6 799,4	79,0	12 095,6	75,9	12 059,2	61,6	11 964,2	58,9	11 907,5	63,6	11 816,5	88,2	755,8	46,2	67 398,2	68,6
3. Améliorer les moyens d'existence afin de renforcer la résilience au moyen d'approches fondées sur le marché	563,3	6,5	2 706,4	17,0	6 606,8	33,7	7 509,5	37,0	5 929,0	31,6	784,4	5,9	131,5	8,0	24 230,9	24,7
4. Gestion du projet	857,0	10,0	498,7	3,1	540,4	2,8	522,1	2,6	530,6	2,8	507,1	3,8	525,1	32,1	3 981,1	4,1
<b>Total</b>	<b>8 601,7</b>	<b>8,8</b>	<b>15 928,2</b>	<b>16,2</b>	<b>19 588,6</b>	<b>19,9</b>	<b>20 307,4</b>	<b>20,7</b>	<b>18 737,0</b>	<b>19,1</b>	<b>13 394,2</b>	<b>13,6</b>	<b>1 637,3</b>	<b>1,7</b>	<b>98 194,4</b>	<b>100,0</b>

### Résumé des avantages et analyse économique

41. **Analyse économique et financière.** Selon l'hypothèse de base, le taux de rentabilité économique (TRE) du projet est estimé à 22,4%. La valeur actuelle nette attendue, avec un taux d'actualisation de 6%, est de 143,4 millions d'USD. Le rendement économique a été mesuré en fonction de différentes hypothèses de variations des avantages et des coûts, ainsi que des retards dans l'obtention d'avantages. En termes relatifs, les variations de coûts et d'avantages influent sur le TRE dans des proportions similaires. En termes absolus, ces variations n'ont aucun effet significatif sur le TRE, et une baisse de 20% des avantages ou une hausse de 20% des coûts ne constituerait pas une menace pour la viabilité économique du projet. Dans ces deux cas de figure, le TRE reste très supérieur au taux d'actualisation. Sur le plan économique, le projet est donc viable, justifié et recommandé pour un financement.

### Stratégie de sortie et durabilité

42. Plusieurs éléments des investissements du CASP+ sont des éléments constitutifs de la stratégie de sortie et de la durabilité du projet. Parmi eux, une considération majeure concerne le fait que le CASP+ s'inscrit dans le prolongement et l'évolution naturelle de plusieurs projets et interventions techniques financés par le FIDA. Ces interventions fructueuses ont ouvert des perspectives, amélioré l'utilisation des pâturages et renforcé les capacités des institutions dans ce domaine, s'inscrivant dans la dynamique enclenchée par la loi sur les pâturages. Le CASP+ intègre d'autres dimensions interdépendantes du développement agricole et de l'adaptation aux changements climatiques aux activités d'investissement en faveur des pâturages.
43. La durabilité du CASP+ sera assurée par: i) la participation des contreparties à chacune des activités d'investissement à l'échelle nationale et locale; ii) un renforcement stratégique et sur mesure des capacités des institutions et des individus; iii) l'amélioration du cadre d'action et de l'environnement réglementaire pour une meilleure gouvernance; iv) la mise en œuvre d'approches participatives afin de garantir l'appropriation du projet par les bénéficiaires; v) un plan clair d'exploitation et d'entretien de l'ensemble des infrastructures, actifs et équipements fournis dans le cadre du projet.

## III. Risques

### A. Risques et mesures d'atténuation

44. Le risque-pays reste élevé. Avec un score égal à 25, le Tadjikistan se situe à la 149<sup>e</sup> place sur 180 pays selon l'indice de perception de la corruption 2020. La corruption est donc un problème majeur dans le pays, qui a récemment connu une forte inflation ainsi que des fluctuations de sa devise face au dollar des États-Unis.

Tableau 4

#### Synthèse globale des risques

<i>Domaines de risque</i>	<i>Risque inhérent</i>	<i>Risque résiduel</i>
Contexte national	Substantiel	Modéré
Stratégies et politiques sectorielles	Modéré	Faible
Contexte environnemental et climatique	Substantiel	Modéré
Portée du projet	Modéré	Faible
Capacités institutionnelles d'exécution et durabilité	Modéré	Faible
Gestion financière	Modéré	Faible
Passation des marchés au titre du projet	Modéré	Faible
Impact environnemental, social et climatique	Modéré	Modéré
Parties prenantes	Modéré	Faible
<b>Risque global</b>	Modéré	Faible

45. Malgré un risque-pays inhérent élevé, et compte tenu des modalités de gestion financière appliquées par l'unité de gestion du projet (UGP) responsable du portefeuille du FIDA, le risque lié à la gestion financière dans les projets actuellement exécutés au Tadjikistan oscille entre modéré et faible. Le CASP+ comptera également sur la participation de l'équipe d'exécution du projet rattachée à la CEP, qui n'a jamais reçu ni utilisé directement des fonds du FIDA. En conséquence, les modalités de gestion financière du projet devront être adaptées aux structures des deux unités d'exécution.
46. Les **risques techniques et opérationnels** du projet sont liés au manque de capacités et de coordination au niveau ministériel. Le déficit de coordination est davantage marqué parmi les institutions concernées par la gestion des ressources naturelles. Le CASP+ traitera ces aspects en renforçant la coordination et les capacités institutionnelles d'organismes censés jouer un rôle essentiel dans l'atténuation et l'adaptation.
47. En ce qui concerne la gestion financière, les principaux risques relèvent des indicateurs de maîtrise des risques suivants:
- i) **Organisation et dotation en personnel.** Risque: retards dans le recrutement de personnel essentiel au sein de la SEPMU et de l'équipe d'exécution du projet. Plan inadéquat d'intégration des recrues n'ayant aucune expérience en lien avec les projets et les exigences du FIDA. Mesures d'atténuation: a) effectuer tous les recrutements essentiels avant le début du projet; b) chaque membre de l'équipe des finances doit suivre le cours en ligne du FIDA sur les modalités de gestion financière; c) la CEP doit fournir un plan d'intégration des recrues avant le début du projet.
  - ii) **Contrôle interne.** Risque: s'agissant du premier projet du FIDA au Tadjikistan comprenant deux UGP, il est nécessaire de mettre en place des mesures de contrôle interne rigoureuses parmi les unités, les organisations non gouvernementales, les organismes partenaires et les bénéficiaires. Mesures d'atténuation: a) inclure toutes les directives et politiques de contrôle interne pertinentes dans le manuel d'exécution du projet, notamment concernant la séparation des tâches, les procédures d'autorisation, la documentation, la gestion des fonds transférés à des tiers, etc.; b) les UGP doivent être chargées de veiller à la mise en place de mesures de contrôle interne rigoureuses couvrant toutes les parties au projet et de mettre à jour le manuel d'exécution du projet dès que nécessaire pendant toute la durée du projet.
  - iii) **Comptabilité et rapports financiers.** Risque: retards pris par les deux UGP dans la transmission des rapports financiers consolidés. Mesures d'atténuation: a) les UGP et l'équipe d'exécution du projet utiliseront la dernière version du logiciel de comptabilité 1C; b) des rapports autogénérés seront extraits du logiciel de comptabilité; c) les UGP doivent être responsables de la consolidation des rapports financiers.

## B. Catégorie environnementale et sociale

48. Le projet est classé dans la catégorie B et ne devrait avoir aucune incidence négative notable sur le plan environnemental ou social. Les risques environnementaux liés aux activités telles que la construction d'infrastructures agricoles ou la réhabilitation de routes rurales seront gérés conformément aux lois environnementales du Tadjikistan ou aux politiques sociale et environnementale du FIDA, les plus strictes étant retenues. Le cadre juridique et réglementaire du Tadjikistan en matière environnementale est bien établi.



## C. Classement au regard des risques climatiques

49. Le CASP+ est exposé à des risques climatiques jugés élevés et devrait être très sensible à l'évolution des risques climatiques, qui pourraient accentuer les problèmes existants liés à la sécurité alimentaire, à la sécurité énergétique et à la pauvreté. Le projet vise à réduire la vulnérabilité des populations rurales pauvres à ces risques, et des fonds du projet serviront à garantir l'adaptation aux changements climatiques et la résilience des infrastructures et des moyens d'existence des populations. Par ailleurs, une proposition du FVC est en cours d'élaboration et pourrait renforcer les activités d'adaptation et d'atténuation entreprises dans le cadre du projet.

## D. Soutenabilité de la dette

50. L'analyse conjointe de la soutenabilité de la dette menée en 2020 par la Banque mondiale et le Fonds monétaire international indique que le risque de surendettement du Tadjikistan reste élevé. À la fin de 2020, la dette extérieure du pays avait atteint un montant record de 6,6 milliards d'USD. En décembre 2020, le PIB nominal s'élevait à 2,3 milliards d'USD. À la suite du ralentissement de l'activité économique observé en 2020, le PIB a connu un taux de croissance annuel de 8,7% au cours du premier semestre de 2021. La hausse des exportations et des cours des métaux précieux a été un facteur essentiel de ce rebond économique important. Toutefois, l'économie est toujours fortement touchée par les effets de la COVID-19.

## IV. Exécution

### A. Cadre organisationnel

51. Le CASP+ sera exécuté sous la houlette du Ministère de l'agriculture (organisme principal du projet). La SEPMU, qui relève du Ministère de l'agriculture, assumera la responsabilité globale de la coordination, de la supervision et de la présentation de rapports au FIDA et au Gouvernement tadjik, en liaison étroite avec les autres organismes d'exécution. Ces derniers incluent l'équipe d'exécution du projet rattachée à la CEP, qui joue un rôle de premier plan dans le domaine des politiques et stratégies sur les changements climatiques, et la FAO, qui fournira un appui technique dans le cadre de certaines activités financées par le FVC.
52. Un **comité de pilotage du projet** sera constitué au niveau national. Il assumera la responsabilité globale de l'orientation stratégique et veillera à ce que les objectifs du projet soient atteints. Le Ministère de l'agriculture et la CEP assureront la coprésidence du comité de pilotage, qui collaborera avec le Conseil de coordination des activités du FVC afin de déterminer comment renforcer et exploiter les investissements du FVC dans le pays.
53. **Les autorités des districts et les jamoats (communes)** auront un rôle important à jouer dans la coordination et la sensibilisation des principales parties prenantes au projet à l'échelle des villages. Ces entités devraient également favoriser la prise en compte d'évaluations de la vulnérabilité aux changements climatiques dans la planification du développement local, notamment de celles réalisées dans chaque district.

### Gestion financière et passation des marchés

54. Chaque UGP se dotera d'une équipe de gestion financière bien structurée dirigée par des responsables des finances qualifiés avant le début du projet. La SEPMU sera responsable de la gestion financière globale du projet. Les principales procédures de gestion financière du CASP+ seront conformes aux exigences des systèmes nationaux et du FIDA suivantes:
- **Flux de fonds.** Concernant le prêt et le don du FIDA, une avance initiale sera transférée sur le compte du projet afin de couvrir les dépenses à engager durant les six premiers mois d'exécution. S'agissant des fonds de contrepartie

et du cofinancement, les besoins annuels du projet seront estimés et intégrés au plan de travail et budget annuel (PTBA).

- **Budgétisation.** La SEPMU consolidera le budget du projet en appliquant une méthode ascendante fondée sur la participation de toutes les parties au projet. Le PTBA consolidé sera soumis pour approbation 60 jours avant le début de chaque exercice financier.
- **Contrôles internes.** Des contrôles internes rigoureux seront mis en place de manière à mettre les fonds du projet à l'abri d'éventuelles irrégularités financières. L'équipe de gestion financière effectuera tous les mois des analyses comparatives des budgets et des dépenses effectivement engagées, des rapprochements bancaires et des inspections aléatoires du travail d'ONG et d'autres organismes partenaires sur le terrain afin de prévenir, de détecter et de corriger les défauts de conformité dans l'exécution.
- **Établissement de rapports.** Le projet fera l'objet de rapports financiers intermédiaires qui feront état des progrès accomplis dans les différentes composantes et catégories à l'aune du PTBA. Ces documents seront présentés tous les trimestres de manière à rendre compte de l'emploi des fonds, et leur présentation sera une condition préalable au retrait d'avances de fonds supplémentaires sur les comptes du prêt et du don.
- **Audit interne.** Une personne sera recrutée et directement rattachée au comité de pilotage pour effectuer un audit interne de l'ensemble des activités du projet et garantir le respect des recommandations des missions de supervision, des audits externes, des directives du Gouvernement, etc.

55. **La loi relative à la passation des marchés publics** de 2006, telle que modifiée par l'amendement du 16 avril 2012, constitue le principal instrument juridique de réglementation des marchés publics au Tadjikistan. Elle ne contient aucune disposition faisant clairement état d'une dérogation pour les marchés publics financés par des institutions financières internationales. Par conséquent, et du fait d'autres lacunes de cette loi, le CASP+ suivra les directives du FIDA relatives à la passation de marchés.

56. **Gouvernance.** Dans sa conception, le CASP+ prévoit un mécanisme clair garantissant la bonne gouvernance des activités par les trois organismes d'exécution. La SEPMU, agissant pour le compte du Ministère de l'agriculture, exécutera le projet en collaboration avec la CEP et la FAO. La bonne gouvernance sera assurée par la responsabilité et la transparence opérationnelles globales, les modalités de gestion financière, la passation de marchés de biens et de services, une bonne gouvernance environnementale, la promotion de l'égalité femmes-hommes et des mécanismes de recours et de règlement des plaintes.

## **B. Planification, suivi-évaluation, apprentissage, gestion des savoirs et communication**

57. Le cadre logique fait partie des principaux outils de planification et contient des indicateurs liés aux produits, aux effets directs et à l'impact sélectionnés parmi les indicateurs de base du FIDA et du FVC (en fonction du cadre d'évaluation de la performance correspondant). La SEPMU procédera à l'examen et à l'actualisation du cadre logique au début du projet et ajustera le PTBA, en apportant les modifications nécessaires aux données et informations sur la base des résultats provenant du sondage initial et des sondages réalisés ultérieurement auprès des ménages.

58. Le **système de suivi-évaluation** du CASP+ s'appuiera sur le système géoréférencé mis en place pour l'exécution de la phase II du Projet de développement de l'élevage et des pâturages et du CASP. Géré par la SEPMU, il contient un système d'information de gestion permettant de ventiler les données

par sexe, par âge ou encore en fonction du niveau de pauvreté des ménages. Il contient également des informations concernant l'éducation des personnes, les modalités de propriété du bétail, les rendements de l'élevage, l'utilisation et les pratiques de gestion des pâturages, les actifs et l'emploi. Le cadre logique sera complété à l'aide de sondages réalisés au début, à mi-parcours et à l'achèvement du projet.

59. **L'apprentissage et la gestion des connaissances** sont des aspects essentiels du CASP+, car ils contribuent au changement de paradigme en faveur de politiques et d'investissements tenant compte du climat et améliorent la résilience et les mécanismes de réduction de la pauvreté.
60. L'ensemble des interventions, données et résultats générés feront l'objet d'une communication et d'une diffusion efficaces auprès des différentes parties prenantes et des bénéficiaires à l'échelle nationale et des districts. Le projet aura recours à des services spécialisés pour réaliser des campagnes de communication tenant compte des questions de genre dans le but de promouvoir la participation et la sensibilisation, ainsi que pour renforcer les partenariats dans le cadre du projet.

### **Innovations et reproduction à plus grande échelle**

61. Le CASP+ est le premier projet que le FIDA exécute au Tadjikistan dont les changements climatiques constituent le point de départ de l'investissement. Il s'agit également du seul projet exécuté dans ce pays qui promeut à la fois l'adaptation aux changements climatiques et le potentiel de piégeage du carbone à grande échelle. Il exploite un certain nombre d'approches et d'investissements novateurs, notamment concernant l'utilisation de données factuelles sur le climat pour appuyer la planification et la prise de décisions au niveau local. Les autres nouveautés incluent le géoréférencement de tous les investissements afin d'assurer un suivi adéquat, la promotion de techniques et de technologies adaptées aux changements climatiques pour l'agriculture et l'élevage, et la promotion d'approches fondées sur le marché pour stimuler la mobilisation des entités du secteur privé dans les zones rurales.

## **C. Plans d'exécution**

### **Plans de préparation à l'exécution et de démarrage**

62. Le CASP+ sera exécuté par la SEPMU du Ministère de l'agriculture, l'équipe d'exécution du projet rattachée à la CEP, et la FAO. Les attributions des membres du personnel complémentaires et des spécialistes figurent dans le manuel d'exécution du projet, ce qui facilite la sélection rapide des candidatures et favorise la préparation au projet. Le processus de recrutement des coordonnateurs et d'autres spécialistes requis pour le démarrage rapide du projet, comme le préconise le plan de passation des marchés, débutera immédiatement après la ratification de l'accord de financement.

### **Supervision, examen à mi-parcours et plans d'achèvement**

63. En sa qualité d'entité accréditée auprès du FVC, le FIDA assurera la supervision du CASP+. Un examen à mi-parcours sera réalisé au cours de la quatrième année d'exécution. Il vise à évaluer la progression du projet et la probabilité de réalisation de ses objectifs de développement.
64. Le Gouvernement tadjik procédera à un examen à l'achèvement du projet en collaboration étroite avec le FIDA afin de faire un bilan de l'efficacité, des résultats et des enseignements tirés du projet.

## **V. Instruments et pouvoirs juridiques**

65. Un accord de financement entre la République du Tadjikistan et le FIDA constituera l'instrument juridique aux termes duquel le financement proposé sera consenti à l'Emprunteur/au Bénéficiaire. Une copie de l'accord de financement négocié figure à l'appendice I.
66. La République du Tadjikistan est habilitée, en vertu de ses lois, à recevoir un financement du FIDA.
67. Je certifie que le financement proposé est conforme aux dispositions de l'Accord portant création du FIDA et aux Principes et critères applicables aux financements du FIDA.

## **VI. Recommandation**

68. Je recommande au Conseil d'administration d'approuver le financement proposé en adoptant la résolution suivante:

DÉCIDE: que le Fonds accordera à la République du Tadjikistan un prêt à des conditions particulièrement concessionnelles d'un montant de six millions sept cent cinquante mille dollars des États-Unis (6 750 000 USD), qui sera régi par des modalités et conditions conformes en substance aux modalités et conditions indiquées dans le présent rapport.

DÉCIDE EN OUTRE: que le Fonds accordera à la République du Tadjikistan un don d'un montant de six millions sept cent cinquante mille dollars des États-Unis (6 750 000 USD), qui sera régi par des modalités et conditions conformes en substance aux modalités et conditions indiquées dans le présent rapport.

Le Président  
Gilbert F. Hougbo

**Negotiated financing agreement:  
"Community-based Agriculture Support Project 'plus'  
(CASP +)"**

(Negotiations concluded on 18 November 2021)

Loan No: \_\_\_\_\_

Grant No: \_\_\_\_\_

Project name: Community-based Agriculture Support Project 'plus' (the "CASP+" or the "Project")

The Republic of Tajikistan (the "Borrower/Recipient")

and

The International Fund for Agricultural Development (the "Fund" or "IFAD")

(each a "Party" and both of them collectively the "Parties")

**WHEREAS:**

**A.** The Borrower/Recipient has requested a loan and a grant from the Fund for the purpose of financing the Project described in Schedule 1 to this present financing agreement (the "Agreement");

**B.** The Project's financing from IFAD is designed to consist of two parts: i) a loan and grant described under Section B of this Agreement; and ii) IFAD's potential financing allocation to the Borrower/Recipient for the period 2022-2024 which is yet to be determined by IFAD's Executive Board (the "EB"). If the EB confirms the potential financing allocation, its financing terms would be set as 100% grant;

**C.** Other than the IFAD financing further described in preamble B above, the Project's financing has been designed with the inclusion of international donor financing from the Green Climate Fund (the "GCF");

**D.** It is envisaged that IFAD with the Borrower's support, submits an application for financing to the GCF, and that GCF accepts to provide financing to IFAD for the implementation of the Project in the amount of USD 30 million grant and USD 9 million loan;

**E.** For avoidance of doubt, IFAD's intentions stated herein in regard of the second part of the Fund's financing for the Project and GCF financing for the Project shall not be construed as a commitment or agreement to provide said financing to the Borrower/Recipient; and

**F.** The Borrower/Recipient has undertaken to provide additional support, financially or in kind that may be needed to the Project.

The Fund has agreed to provide financing for the Project;

**NOW THEREFORE**, the Parties hereby agree as follows:

**Section A**

1. The following documents collectively form this Financing Agreement: this present document (the "Agreement"), the Project Description and Implementation Arrangements (Schedule 1), the Allocation Table (Schedule 2) and the Special Covenants(Schedule 3).
2. The Fund's General Conditions for Agricultural Development Financing dated 29 April2009, amended as of December 2020, and as may be amended hereafter from time to time (the "General Conditions") are annexed to this Agreement, and all provisions thereof shall apply to this Agreement. For the purposes of this Agreement the terms defined in the General Conditions shall have the meanings set forth therein, unless the Parties shall otherwise agree in this Agreement.
3. The Fund shall provide a loan (the "Loan") and a grant (the "Grant") (together referred to as the "Financing") to the Borrower/Recipient, which the Borrower/Recipient shall use to implement the Project in accordance with the terms and conditions of this Agreement.

## **Section B**

1. A. The amount of the Loan is six million seven hundred fifty thousand UnitedStates Dollars (USD 6 750 000).  
B. The amount of the Grant is six million seven hundred fifty thousand United States Dollars (USD 6 750 000).
2. The Loan is granted on highly concessional terms, and shall be free of interest but shall bear a fixed service charge as determined by the Fund at the date of approval of the Loan by the Fund's Executive Board, payable semi-annually in the Loan Service Payment Currency. The Loan shall have a maturity period of forty (40) years, including a grace period of ten (10) years starting from the date of approval of the Loan by the Fund's Executive Board.
3. The principal of the Loan will be repaid at four and half per cent (4.5%) of the total principal per annum for years eleven (11) to thirty (30), and one per cent (1%) of the total principal per annum for years thirty-first (31) to forty (40).
4. The Loan Service Payment Currency shall be in United States Dollar (USD).
5. The first day of the applicable Fiscal Year shall be 1 January.
6. Payments of principal and service charge shall be payable on each 15 April and 15 October.
7. There shall be four (4) Designated Accounts in United States Dollars (USD), for the exclusive use of the Project, two (2) for the Loan and two (2) for the Grant for the use of the Project Management Unit ( the "PMU") already existing under the IFAD funded Livestock and Pasture Development Project and the Implementation Group for the Project under the Committee for Environmental Protection under the Government of the Republic of Tajikistan (the "CEP"). The Borrower shall inform the Fund of the officials authorized to operate the Designated Accounts.
8. There shall be four (4) Project Accounts in Tajikistan Somoni (TJS) to receive funds from the Loan and the Grant designated accounts, two (2) for the Loan and two(2) for the Grant .
9. The Borrower/Recipient shall provide counterpart financing for the Project in an

amount equivalent to approximately one million six hundred twenty one thousand United States Dollars (USD1 621 000) in the form of VAT exemption of goods, works, and services as well as customfees, subject to the Borrower/Recipient's relevant regulations in place.

### **Section C**

1. The Lead Project Agency shall be the Ministry of Agriculture (the "LPA").
2. The following are designated as additional Project Parties: (i) the Committee for Environmental Protection under the Government of the Republic of Tajikistan (the "CEP"); and (ii) the Food and Agricultural Organisation of the United Nations (the "FAO").
3. A Mid-Term Review will be conducted as specified in Section 8.03 (b) and (c) of the General Conditions; however, the Parties may agree on a different date for the Mid-Term Review of the implementation of the Project.
4. The Project Completion Date shall be the seventh (7<sup>th</sup>) anniversary of the date of entry into force of this Agreement and the Financing Closing Date shall be 6 months later, or such other date as the Fund may designate by notice to the Borrower/Recipient.
5. The procurement of goods, works and services to be financed from the proceeds of the Financing shall be in accordance with the applicable Fund's procurement guidelines and handbook as they may be amended from time to time.

### **Section D**

1. The Fund will administer the Financing and supervise the Project.

### **Section E**

1. The following are designated as additional grounds for suspension of this Agreement:
  - (a) The Project Implementation Manual ( the "PIM") and/or any provision thereof, has been waived, suspended, terminated, amended or modified without the prior agreement of the Fund and the Fund, after consultation with the Borrower/Recipient, has determined that it has had, or is likely to have, a material adverse effect on the Project.
2. The following are designated as additional (general/specific) conditions precedent to withdrawal:
  - (a) The IFAD no objection to the PIM shall have been obtained.
  - (b) Key Project staff has been appointed as per the relevant section in Schedule 1 of this present Agreement.
3. This Agreement is subject to ratification by the Borrower/Recipient. In accordance with Section 13.01 of the General Conditions (Entry into Force) this Agreement shall enter into force after the ratification by the Borrower/Recipient.
4. The following are the designated representatives and addresses to be used for any communication related to this Agreement:

For the Borrower/Recipient:

[click and type title of the representative]  
[click and type the name and address of the ministry]

For the Fund:

[click and type Title]  
International Fund for Agricultural Development  
Via Paolo di Dono 44  
00142 Rome, Italy

[Copy to:]

This Agreement, dated \_\_\_\_\_, has been prepared in the English language in two (2) original copies, one (1) for the Fund and one (1) for the Borrower/Recipient.

REPUBLIC OF TAJIKISTAN

\_\_\_\_\_  
"[Authorised Representative Name]"  
"[Authorised Representative title]" Date:

Date: \_\_\_\_\_

INTERNATIONAL FUND FOR  
AGRICULTURAL DEVELOPMENT

\_\_\_\_\_  
Gilbert F. Houngbo  
President

Date: \_\_\_\_\_



## Schedule I

### I Project Description

1. *Project Area and Target Population.* The Project shall be implemented in districts selected based on climate vulnerability including social, environmental and climatic and infrastructure parameters of Soghd, Khatlon and the Region of Republican Subordination. The main **target group** consists of poor communities and those households whose livelihood is severely affected by climate change. Specifically, CASP+ benefit for the following groups: (i) the rural extremely poor population living below the poverty line; (ii) subsistence and semi-subsistence rural population, in particular those willing to move to more commercial farming; and (iii) rural underemployed and self-employed youth.

2. *Goal.* The Goal of the Project is to contribute to the country's shift towards low emission sustainable development pathways and climate-adaptive agricultural production practices.

3. *Development objective.* The development objective is to increase resilience of ecosystems and adaptation of livelihoods in rural areas affected by climate change. The Project will achieve the objective by strengthening public sector capacity for transformative climate-resilient governance of natural resources, improving community planning and access to investment resources for ecosystem management and climate adaptation, supporting through market-based approaches the diversification of livelihoods as an element of climate resilience.

4. *Components.* The Project shall consist of the following four (4) components, the details of which will be further described in the Project Implementation Manual (the "PIM"):

4.1 **Component 1: Strengthening public sector capacity for transformative climate-resilient management of natural resources.** The component has two sub-components:

4.1.1 *Strengthened capacities of relevant national institutions for climate-resilient natural resources management.* The Project will: i) develop capacities of public institutions on climate resilient ecosystem management; ii) introduce combined remote and participatory natural resources monitoring and management; iii) enhance technical capacities of national livestock institutions; iv) support research and academia institutions to improve climate resilient ecosystem management; and v) provide support to selected private sector actors for technical innovations that can support climate adaptation.

4.1.2 *Support the enabling environment for climate adaptive, inclusive and integrated management of pasture, forestry and livestock resources.* The Project will: i) support an inclusive and integrated policy dialogue; ii) provide technical assistance for review of livestock and pasture related regulatory frameworks; iii) support the introduction of relevant monitoring- and decision-making tools; and iv) support the government's capacity to coordinate and monitor green investments.

4.2 **Component 2: Investments in community capacity for adaptation and resilience to climate change.** The component has two sub-components:

4.2.1 *Develop district level climate diagnostics and Climate sensitive Community Action Plans (the "CCAPs").* The Project will: i) develop District Climate Resilience Diagnostics covering the Project Area; ii) establish or strengthen relevant local institutions; iii) develop CCAPs including relevant subprojects; and iv) strengthen local institutions' capacity to monitor and evaluate CCAPs.

4.2.2 *Implement CCAPs.* The Project will implement the CCAPs' investment plans following the division into various types of investments defined in the PIM, including

i) pasture management investments; ii) climate resilient infrastructure investments, iii) community agriculture equipment for productivity improvement; and iv) forestry investments.

**4.3 Component 3: Strengthening livelihoods for enhanced resilience through market based approaches.** The component has three sub-components:

**4.3.1 Provide services to smallholders related to artificial insemination and animal health to increase livestock productivity.** The Project will: i) improve the genetic potential of smallholder farmers' livestock; ii) support delivery of private animal health services; iii) improve animal productivity and health by supporting relevant institutions, and by providing trainings; and iv) support adoption of climate resilient innovative technologies.

**4.3.2 Establish productive alliances between livestock producers' groups and private aggregators.** The Project will: i) identify market and business opportunities; and ii) provide financial and technical inputs in support of business partnerships for selected livestock commodities.

**4.3.3 Strengthen climate resilient production practices and private sector market linkages.** The Project will: i) create and strengthen the capacity of Common Interest Groups (CIGs); and ii) manage and invest under the CIG matching grant programme.

**4.4 Component 4. Project Management.** This component shall provide financing for the overall management of the Project

## **II. Implementation Arrangements**

### **A Organization and management.**

5. The Lead Project Agency. The Ministry of Agriculture will be the Lead Project Agency for the Project (the "LPA").

6. *Project Steering Committee (the "PSC").*

**6.1 Establishment and composition:** The PSC will be co-chaired by the Ministry of Agriculture, and the Committee for Environmental Protection. Members of the PSC will include: the Ministry of Economic Development and Trade, the Ministry of Finance, the State Committee on Investment and State property management, the Food Security Committee under the Government of the Republic of Tajikistan, the State Forest Agency, the State Committee on Land Management and Geodesy, the Tajik Academy of Agricultural Sciences, the Agency for Land Reclamation and Irrigation, and Committee of the Emergency Situations and Civil Defense under the Government of the Republic of Tajikistan. Development partners committed to climate-adaptive strategies and mitigation will participate as observers. The PSC will also coordinate with the Coordinating Council on the Green Climate Fund to assess how to strengthen and build on the on-going GCF investments in the country.

**6.2 Responsibilities of the PSC.** The PSC shall provide overall guidance for the implementation of the Project activities at the national level and shall be responsible for the approval of the AWPBs as well as other key policy decisions. The PSC does not have direct management responsibility.

7. *The Project Management Unit (PMU).*

**7.1 Core activities.** The already existing PMU under the IFAD funded Livestock and

Pasture Development Project, shall have overall responsibility for Project implementation, coordination, oversight and reporting to IFAD and the government including liaising closely with Committee for Environmental Protection and FAO. Other PMU core responsibilities include inter alia: (i) procurement, financial management, disbursement, accounting, auditing and financial reporting, (ii) managing the performance of the partner national organizations responsible for implementation of specific Project activities; (iii) shortlisting, evaluating, contracting and managing the performance of service providers, (iv) overall Project monitoring and evaluation (M&E), (v) preparing the consolidated Annual Work Plan and Budget (the "AWPB") and submitting it to IFAD for approval; and (vi) maintaining a results-based system of assessing the performance of the partner organizations.

7.2 *Component activities* The PMU shall implement i) elements of subcomponent 1.1 comprising support to PMT, support to National Veterinary Authority, support to State Enterprise for Animal Breeding and Artificial Insemination, and support for innovations with research institutes and private sector; ii) elements of subcomponent 1.2 comprising improvement of the Pasture Law, improvement of veterinary legislation, and capacity building of relevant government staff; iii) elements of subcomponent 2.1 comprising dissemination of the diagnostic, establishment and strengthening of local institutions, CCAP development and monitoring; iv) elements of subcomponent 2.2 comprising CCAP implementation for all types of investments except forest investments; v) elements of subcomponent 3.1 comprising support for breed improvements, support to private veterinarians and related institutions and provision of trainings, support for innovation; vi) elements of subcomponent 3.2 comprising identification and financing of market and business opportunities, and support to CIGs.

#### 8. *The CEP Implementation Group for the Project (the "IGP").*

8.1 *Core activities.* IGP will have a focus on Project activities in relation to climate change policies and strategies, and forestry activities. IGP will also ensure: (i) the coordination and accountability for effective performance of the combination of its own staff and technical inputs from the government's technical agencies, public organizations and Project's contracted service providers in the implementation of the activities for which IGP is responsible; (ii) the M&E of its own activities, including monitoring of the related performance indicators, assembly and dissemination of information for knowledge management, and the related reporting both to its own management and in a synthesized form to the PMU, and (iii) the Procurement and Financial management of all its activities including disbursement, accounting, auditing and financial reporting.

8.2 *Component activities:* The CEP shall implement i) elements of subcomponent 1.1 comprising support to forestry department, support to activities on natural resource management, support to research and academia institutions; ii) elements of subcomponent 1.2 comprising stock taking and mainstreaming of climate adaptive practices, workshops, green economy strategy and related capacity building of ministry staff, iii) elements of subcomponent 2.1 comprising district climate resilience diagnostic, promotion of forestry activities and establishment and strengthening of related local institutions, implementation of forestry investments iv); and elements of subcomponent 2.2 comprising implementation of forestry investments.

#### 9. *Food and Agricultural Organisation of the United Nations (FAO)*

9.1 *Core activities.* FAO will be providing specific technical support and execution of defined activities with GCF financing. FAO will also ensure: (i) the coordination and accountability for effective performance of the combination of its own staff and technical inputs from the government's technical agencies, public organizations and Project's contracted service providers in the implementation of the activities for which IGP is responsible; (ii) the M&E of its own activities, including monitoring of the related performance indicators, assembly and dissemination of information for knowledge

management, and the related reporting both to its own management and in a synthesized form to the PMU, and (iii) the Procurement and Financial management of all its activities including disbursement, accounting, auditing and financial reporting.

9.2 *Component activities*: FAO will implement: i) elements of subcomponent 1.1 comprising capacity development on carbon accounting tools for land use and livestock, and on the animal breeding strategy revision; and ii) elements of sub-component 3.1 including farmers fields schools (FFS) preparation and roll out and strengthening private veterinaries' services.

## **B. Project Implementation Manual (the "PIM")**

10. Preparation. The Borrower/ Recipient shall prepare, in accordance with terms of reference subject to no objection by the Fund, a PIM, which shall include, among other arrangements: (i) institutional coordination including composition of PSC, and day-to-day execution of the Project; (ii) Project budgeting, disbursement, financial management, procurement monitoring, evaluation, reporting and related procedures; (iii) detailed description of implementation arrangements for each Project component, and (iv) such other administrative, financial, technical and organizational arrangements and procedures as shall be required for the Project.

11. Approval and Adoption. The PMU shall forward the draft PIM to the Fund for comments and no-objection. The PMU shall adopt the PIM in the form approved by the Fund, and the PMU shall promptly provide copies thereof to the Fund. The Borrower/Recipient shall carry out the Project in accordance with the PIM and shall not amend, abrogate, waive or permit to be amended, abrogated, or waived, the aforementioned manual, or any provision thereof, without the prior written consent of the Fund.

## **C. Supervision**

12. A Mid-Term Review (the "MTR") shall be conducted to assess the progress, achievements, constraints and emerging impact and likely sustainability of the Project and make recommendations and necessary adjustments for the remaining period of disbursement. The MTR shall be carried out jointly by the Borrower/ Recipient and the Fund.

**Schedule 3***Allocation Table*

1. *Allocation of Loan/Grant Proceeds.* (a) The Table below sets forth the Categories of Eligible Expenditures to be financed by the Loan/Grant and the allocation of the amounts to each category of the Financing and the percentages of expenditures for items to be financed in each Category:

<b>Category</b>	<b>Loan Amount Allocated (expressed in USD)</b>	<b>Grant Amount Allocated (expressed in USD)</b>	<b>Percentage</b>
I. Civil Works, Goods, Equipment and services	6 075 000	4 266 000	100% net of taxes, beneficiaries and private sector contribution
II. Training, Workshops & Travel		135 000	100% net of FAO* contribution
III. Technical Assistance & Studies		147 000	100% net of FAO* contribution
IV. Operating Costs		1 527 000	100%
Unallocated	675 000	675 000	
<b>TOTAL</b>	<b>6 750 000</b>	<b>6 750 000</b>	

\*FAO – Food and Agriculture Organization of the United Nations

(b) The terms used in the Table above are defined as follows:

- (i) Category I “ Civil Works, Goods, Equipment and services” includes inter alia costs of goods, equipment & inputs to grant beneficiaries and cost of accounting software and office equipment; and
- (ii) Category IV “Operating costs” includes inter alia costs of salaries and allowances and other operating costs for running SEPMU and CEP offices.

(c) Unallocated proceeds: It is expected that proceeds falling under the Unallocated category, as shown in the table above, will be allocated in the course of Project implementation in a proportion whereby a minimum of 85% will be towards category I

### Schedule 3

#### *Special Covenants*

#### **I. General Provisions**

In accordance with Section 12.01(a)(xxiii) of the General Conditions, the Fund may suspend, in whole or in part, the right of the Borrower/Recipient to request withdrawals from the Loan/Grant Account if the Borrower/Recipient has defaulted in the performance of any covenant set forth below, and the Fund has determined that such default has had, or is likely to have, a material adverse effect on the Project:

1. Within 6 months of entry into force of the Agreement, the Project will procure and install a customized accounting software as it is the practice in IFAD on-going supported projects, to satisfy International Accounting Standards and IFAD's requirements.
2. *Planning, Monitoring and Evaluation.* The Borrower/Recipient shall ensure that (i) a Planning, Monitoring and Evaluation (the "PM&E") system shall be established within twelve (12) months from the date of entry into force of this Agreement.
3. *Anticorruption Measures.* The Borrower/Recipient shall comply with IFAD Policy on Preventing Fraud and Corruption in its Activities and Operations.
4. *Sexual Harassment, Sexual Exploitation and Abuse.* The Borrower/Recipient and the Project Parties, if applicable, shall ensure that the Project is carried out in accordance with the provisions of the IFAD Policy on Preventing and Responding to Sexual Harassment, Sexual Exploitation and Abuse, as may be amended from time to time.
5. *Use of Project Vehicles and Other Equipment, if applicable.* The Borrower/Recipient shall ensure that all vehicles and other equipment transferred to or procured under the Project are dedicated solely to Project use.
6. *IFAD Client Portal (the "ICP") Contract Monitoring Tool.* The Borrower/Recipient shall ensure that a request is sent to IFAD to access the project procurement Contract Monitoring Tool in the IFAD ICP. The Borrower/Recipient shall ensure that all contracts, memoranda of understanding, purchase orders and related payments are registered in the Project Procurement Contract Monitoring Tool in the IFAD ICP in relation to the procurement of goods, works, services, consultancy, non-consulting services, community contracts, grants and financing contracts. The Borrower/Recipient shall ensure that the contract data is updated on a quarterly basis during the implementation of the Project.
7. *Compliance with the Social Environmental and Climate Assessment Procedures (SECAP).* The Borrower/Recipient shall ensure that the Project will be implemented in compliance with IFAD's SECAP and more specifically that the following measures shall be taken.

Environment and Social Safeguards. The Borrower/Recipient shall ensure that: (a) all Project activities are implemented in strict conformity with the Borrower/Recipient's relevant laws/regulations; (b) Project activities give special consideration to the participation and practices of ethnic minority population in compliance with IFAD's Policy on Indigenous Peoples (2009), as appropriate; (c) proposals for civil works include confirmation that no involuntary land acquisition or resettlement is required under the Project. In the event of unforeseen land acquisition or involuntary resettlement under the Project, the Borrower/Recipient shall immediately inform the Fund and prepare the necessary planning documents; (d) women and men shall be paid equal remuneration for work of equal value under the Project; (e) recourse to child labour is not made under the Project; (f) the measures included in the Gender Action Plan prepared for the Project are

undertaken, and the resources needed for their implementation are made available, in a timely manner; and (g) all necessary and appropriate measures to implement the Gender Action Plan to ensure that women can participate and benefit equitably under the Project are duly taken.

8. *The Key Project Personnel include:* PMU Project Director, PMU Financial Manager, PMU Project Coordinator, PMU Procurement Officer, IGP Project Coordinator, IGP Financial Manager, and IGP Procurement Officer, and any other staff and consultants that are hired by the PMU and IGP to support the project who are determined to be Key Project Personnel by IFAD. In order to assist in the implementation of the Project the PMU and IGP unless otherwise agreed with IFAD, shall employ or cause to be employed, as required, key staff whose qualifications, experience and terms of reference are satisfactory to IFAD. Key Project Personnel shall be seconded to the PMU and IGP in the case of government officials or recruited under a consulting contract following the individual consultant selection method in the IFAD Procurement Handbook, or any equivalent selection method in the national procurement system that is acceptable to IFAD. The recruitment and dismissal of all Key Project Personnel is subject to IFAD's prior review. Key Project Personnel are subject to annual evaluation and the continuation of their contract is subject to satisfactory performance. Any contract signed for Key Project Personnel shall be compliant with the national labour regulations or the ILO International Labour Standards (whichever is more stringent) in order to satisfy the conditions of IFAD's updated SECAP. Repeated short-term contracts must be avoided, unless appropriately justified under the Programme's circumstances.

# Logical framework

Results Hierarchy	Indicators			Means of Verification		Assumptions		
	Name	Baseline	Mid-Term	End Target	Source		Frequency	Responsibility
Outreach	<b>1.b Estimated corresponding total number of households members</b>				Outcome Survey	Annual	PMU	PMU management is efficient, the country recover from covid-19 aftermaths, macro-economic and political conditions are stable.
	Household members - Number of people	0	260000	650000				
	<b>1.a Corresponding number of households reached</b>				Project M&E system	Annual	PMU	
	Households - Number	0	40000	100000				
	<b>1 Persons receiving services promoted or supported by the project</b>				Project M&E system	Annual	PMU	
	Females - Number		133900	334750				
	Males - Number	0	126100	315250				
	Young - Number	0	78000	195000				
	Not Young - Number	0	182000	455000				
	Indigenous people - Number	0	NA	NA				
Non-Indigenous people - Number	0	NA	NA					
Total number of persons receiving services - Number of people	0	260000	650000					
<b>Project Goal</b> Contribute to the country's shift towards low emission sustainable development pathways and climate-adaptive agricultural production practices	<b>Number poor smallholder households whose climate resilience has been increased</b>				Surveys	Baseline/MTR/Completion	PMU	Macro-economic and political conditions are stable and the interest of Government for Green Economy is maintained and sustained.
	Households - Number		32000	80000				
<b>Development Objective</b> Increase resilience of ecosystems and adaptation of livelihoods in rural areas affected by climate change	<b>Income increase in TJS</b>				Surveys	Baseline/MTR/Completion	PMU	Macro-economic conditions are stable and impact of potential climate hazards does not damage local / national economy.  The covid-19 pandemic has eased and allows field activities.  Availability and interest of local communities and commitment to the investments in improved NR  Availability of service providers able to support outreach and mobilization of communities. Macro-economic and political stability
	Income increase in TJS - Percentage (%)		6	15				
	<b>Number of targeted HH reporting increased income from rural livelihoods</b>				Surveys	Baseline/MTR/Completion	PMU	
	Households - Number		32000	80000				
	<b>4.1 GCF: Tons of carbon dioxide equivalent (t CO2eq) reduced or avoided (including increased removals) as a result of Fund-funded projects/programmes</b>				Ex-ACT and GLEAM-i Carbon accounting tools	Baseline/MTR/Completion	IFAD	
	Tons of CO2e emissions - Number	0	2 000 000	7 062 655				
	<b>A2.2 (GCF) Number of food secure households (in areas/periods at risk of climate change impacts</b>							
Total number of household members - Number of people		208000	520000					
Males - Number		100880	252200					
Females - Number		107120	267800					



	<b>GCF Core/a. Total Number of direct and indirect beneficiaries</b>			Surveys	Baseline/MTR/Completion	PMU	
	Direct Beneficiaries (women) - Number of people	133900	334750				
	Direct Beneficiaries (men) - Number of people	126100	315250				
	Direct Beneficiaries (men/women) - Number of people	260000	650000				
	Indirect Beneficiaries (men) - Number of people	440075	1100187				
	Indirect Beneficiaries (women) - Number of people	467296	1168239				
	Indirect Beneficiaries (men/women) - Number of people	907370	2268426				
	<b>1.2.2 Households reporting adoption of new/improved inputs, technologies or practices</b>			Surveys	Baseline/MTR/Completion	PMU	
	Total household members - Number of people	208000	520000				
	<b>GCF Core/b. Number of beneficiaries relative to total population of the country (direct)</b>			Surveys	Baseline/MTR/Completion	PMU	
	% beneficiaries (direct) - Percentage (%)	2.8	7				
	% beneficiaries (indirect) - Percentage (%)	12.5	31.3				
<b>Component 1. Strengthening public sector capacity for transformative climate-resilient management of natural resources</b>							
<b>Outcome</b> Outcome 1 (5.0 for GCF) Strengthened institutional and regulatory systems for climate-responsive planning and development	<b>(IFAD) Policy 3: Number of existing/new laws, regulations, policies or strategies proposed to policy makers for approval, ratification or amendment.</b>			Surveys	Baseline/MTR/Completion	PMU	Commitment of project partners (government agencies, development partners, civil society) to inclusive and constructive dialogue
	Number of national policies - Number	3	4: (1) Pasture law; (2) breeding strategy; (3) policy on private veterinary services and (4) Green Economy Concept				
<b>Output</b> Output 1.1 By year 7, capacities of relevant national institutions for climate-resilient natural resources management are strengthened	<b>Number of individuals from relevant institutions trained in evidence-based joint climate-adaptive natural resources planning, management and monitoring</b>			Surveys	Baseline/MTR/Completion	PMU	Commitment of targeted institutions; Limited staff turnover; constructive partnership created will continue after closure
	Individuals (National Level) - Number	50	100				
	Individuals (Local Level) - Number	120	200				
<b>Output</b> Output 1.2 By year 7, enabling environment for climate adaptive, inclusive and integrated management of pasture, forestry and livestock resources is enhanced	<b>Number of institutions utilizing the evidence-based georeferenced tool (including remote sensing) for integrated NRM</b>			Surveys	Baseline/MTR/Completion	PMU	Willingness to adopt accountable georeferenced M&E and planning system for NR with remote sensing data use  Government and relevant institutions' commitment to a shift to green economy and integrated ecosystem management
	Number of Institutions (National level) - Number	0	10	10			
	Number of Institutions (Local level) - Number	0	7	7			
<b>Component 2. Investments in community capacity for adaption and resilience to climate change</b>							
<b>Outcome</b> Outcome 2: 9.0 GCF: Improved management of land or forest areas contributing to emissions reductions	<b>9.1 GCF: Hectares of land or forests under improved and effective management that contributes to CO2 emission reductions:</b>			Surveys	Baseline/MTR/Completion	PMU	Availability and interest of local communities and commitment to the investments in improved NR; climate sensitive planning and local level partnerships created will continue after project closure  Willingness of rural communities, availability of suitable service providers and commitment of local institutions to support rural communities' investment and planning even beyond project end.  Available service providers for agriculture improvement and animal health (including private vets) willing to engage in project areas; agribusiness enterprises willing to engage with smallholders in the project area
	Pastures - Area (ha)	0	50000	180000			
	Forests - Area (ha)	0	1200	8641			
	Agricultural land - Area (ha)	0	500	1416			
	<b>3.2.2 Households reporting adoption of environmentally sustainable and climate-resilient technologies and practices</b>			Surveys	Baseline/MTR/Completion	PMU	
	Households - Percentage (%)	40	80				
	Total number of household members - Number of people	104000	520000				
	Women-headed households - Number	1600	8000				

	Households - Number	16000	80000				
	<b>SF.2.1 Households satisfied with project-supported services</b>			Surveys	Baseline/MTR/Completion	PMU	
	Total number of household members - Number of people	104000	520000				
	Households (%) - Percentage (%)	40	80				
	Households (number) - Number	16000	80000				
	<b>SF.2.2. Households reporting they can influence decision-making of local authorities and project-supported service providers</b>						
	Total number of household members - Number of people	104000	520000				
	Households (%) - Percentage (%)	40	80				
	Households (number) - Number	16000	80000				
	<b>1.2.4 Households reporting an increase in production</b>			Surveys	Baseline/MTR/Completion	PMU	
	Households - Percentage (%)	40	80				
	Total number of household members - Number of people	208000	520000				
	Women-headed households - Number	3200	8000				
	Households - Number	32000	80000				
	<b>1.2.2 Households reporting adoption of new/improved inputs, technologies or practices</b>			Surveys	Baseline/MTR/Completion	PMU	
	Households - Percentage (%)	40	80				
	Total number of household members - Number of people	208 000	520000				
	Women-headed households - Number	na	na				
	Households - Number	16 000	80000				
<b>Output</b> Output 2.1 By year 3, 400 Climate-sensitive Community Action Plans (CsCAP) based on 21 district level climate diagnostics are developed	<b>Number of District level Climate Resilience Diagnostics (DCRD) prepared</b>			Surveys	Baseline/MTR/Completion	PMU	Willingness of rural communities, availability of suitable service providers and commitment of local institutions to support rural communities' investment and planning even beyond project end.
	Number of DCRDs - Number	21	21				
	<b>Number of Climate-sensitive Community Action Plans (CsCAP) approved</b>			Surveys	Baseline/MTR/Completion	PMU	
	Number of CsCAPs - Number	400	400				
<b>Output</b> Output 2.2 By year 7, 400 Climate-sensitive Community Action Plans (CsCAP) implemented in 21 districts benefitting at least 100,000 rural households	<b>Number of households benefitting from the CsCAPs</b>			Surveys	Baseline/MTR/Completion	PMU	Willingness of rural communities, availability of suitable service providers and commitment of local institutions to support rural communities' investment and planning even beyond project end.
	Households - Number	40000	100000				
	Male-headed HHs - Number	36000	90000				
	Female-headed HHs - Number	4000	10000				
	<b>3.1.4 Land brought under climate-resilient practices</b>			Annual Project M&E	Annual	PMU	
	Hectares of land - Area (ha)	51700	190057				
	<b>Number of hectares of land brought under climate-resilient management</b>			Remote Sensing with ground thrusting	Annual	PMU	
	Pastures - Area (ha)	50000	180000				
	Forests - Area (ha)	1200	8641				
	Agricultural land - Area (ha)	500	1416				
<b>Component 3. Strengthening livelihoods for enhanced resilience through market based approaches</b>							
<b>Outcome3:</b> A7.0. Strengthened adaptive capacity and reduced exposure to climate risks.	<b>1.2.4 Households reporting an increase in production</b>			Surveys	Baseline/MTR/Completion	PMU	
	Households - Percentage (%)	40	80				
	Total Number of HH members - Number	208000	520000				
	Total Number of HHs	3200	80000				
	<b>1.2.2 Households reporting adoption of new/improved inputs, technologies or practices</b>			Surveys	Baseline/MTR/Completion	PMU	
Households - Percentage (%)	40	80					

	Total number of HH members - Number	2080 00	520000				
	Households - Number	1600 0	80000				
<b>Output 3.1.</b> By end of year 7, 105,600 smallholder livestock farmers receive AI, animal health or training services to increase productivity of their livestock	<b>3.1.1. Rural producers accessing production inputs and/or technological packages</b>			Annual Project M&E	Annual	PMU	Available service providers for agriculture improvement and animal health willing to engage in project areas Agribusiness enterprises willing to engage with smallholders in the project area The technologies are affordable and disseminated for wider use and replication.
	Females - Number	12880	32200				
	Males - Number	12880	32200				
	Young - Number	7728	19320				
	<b>3.1.2. Persons trained in income-generating activities or business management</b>			Annual Project M&E	Annual	PMU	
	Females - Number	2880	7200				
	Males - Number	2880	7200				
	Young - Number	1728	4320				
	<b>3.1.3. Number of Artificial Inseminations conducted in the project area</b>			Annual Project M&E	Annual	PMU	Available service providers for agriculture improvement and animal health (including private vets) willing to engage in project areas
	Number of Artificial Inseminations conducted in the project area - Number	40000	100000				
	<b>3.1.4. Number of supported private veterinarians</b>			Annual Project M&E; TVA report	Annual	FAO	
	Veterinarians - Number	200	284				
	<b>3.1.5. Number of farmers enrolled in FFS</b>			Annual Project M&E	Annual	FAO	
	Men - Number	360	1200				
	Women - Number	240	800				
Youth - Number	180	600					
Men and Women - Number	600	2000					
<b>3.1.6. Number of farmers accessing demonstration plots on climate resilient technologies</b>			Annual Project M&E	Annual	PMU		
Men - Number	1440	4800					
Women - Number	960	3200					
Youth - Number	720	2400					
Men and Women - Number	2400	8000					
<b>Output 3.2.</b> By end of year 4, 9 productive alliances between livestock producers' groups and private aggregators established and operational	<b>3.2.1. Number of active and operational productive alliances for marketing of livestock commodities</b>			Annual Project M&E	Annual	PMU	Private sector actors are willing to enter and invest in productive alliances arrangements.  Market demand for livestock commodities keeps increasing at the same pace
	Number of Productive Alliances supported - Number	0	8	9 (8 on dairy, 1 on beef)			
	<b>3.2.2. Number of farmers accessing market and services through productive alliances facilitated by the project</b>						
	Men - Number	4860	16200				
	Women - Number	3240	10800				
	Youth - Number	2430	8100				
Men and Women - Number	0	8100	27000				
<b>Output 3.3</b> By end of year 7, 12,400 smallholders have strengthened climate resilient production practices and private sector market linkages	<b>3.2.3. Number of Common Interest groups' (Window 1) proposals approved (% women led groups proposal approved and youth - led approved)</b>			Annual project M&E	Annual	PMU	Market linkages established, primary production increased using climate resilient technologies quality improved, value addition, climate resilient technologies scaled-up  Women/youth increase their incomes from diversified agriculture activities

	Number of CIGs approved - Number	612	1020				
	<b>3.2.4. Number of Common Interest groups' (Window 2) proposals approved (% women led groups proposal approved and youth - led approved)</b>			Annual project M&E	Annual	PMU	
	Number of CIGs approved – Number	66	110				
	Number of CIG Women members						
	No of CIG Youth members						

### Annex III: Integrated Project/Programme Risk Matrix

#### Overall Summary

Risk Category / Subcategory	Inherent risk	Residual risk	
Country Context	Substantial	Moderate	
Political Commitment	Substantial	Moderate	
Governance	Substantial	Moderate	
Macroeconomic	Substantial	Moderate	
Fragility and Security	Substantial	Moderate	
Sector Strategies and Policies	Moderate	Low	
Policy alignment	Moderate	Low	
Policy Development and Implementation	Moderate	Low	
Environment and Climate Context	Substantial	Moderate	
Project vulnerability to environmental conditions	Substantial	Moderate	
Project vulnerability to climate change impacts	Substantial	Moderate	
Project Scope	Moderate	Low	
Project Relevance	Moderate	Low	
Technical Soundness	Moderate	Low	
Institutional Capacity for Implementation and Sustainability	Moderate	Low	
Implementation Arrangements	Moderate	Low	
Monitoring and Evaluation Arrangements	Moderate	Low	
Project Financial Management	Moderate	Low	
Project Organization and Staffing	Substantial	Moderate	
Project Budgeting	Moderate	Low	
Project Funds Flow/Disbursement Arrangements	Moderate	Low	
Project Internal Controls	Moderate	Low	
Project Accounting and Financial Reporting	Moderate	Low	
Project External Audit	Moderate	Low	
Project Procurement	Moderate	Low	
Legal and Regulatory Framework	Low	Low	
Accountability and Transparency	Substantial	Moderate	
Capability in Public Procurement	Low	Low	
Public Procurement Processes	Moderate	Low	
Environment, Social and Climate Impact	Moderate	Moderate	
Biodiversity Conservation	Moderate	Moderate	
Resource Efficiency and Pollution Prevention	Moderate	Moderate	
Cultural Heritage	Low	Low	
Indigenous People		No risk envisaged - not applicable	
Labour and Working Conditions	Moderate	Moderate	
Community Health and Safety	Substantial	Moderate	
Physical and Economic Resettlement		No risk envisaged - not applicable	
Greenhouse Gas Emissions	Moderate	Low	
Vulnerability of target populations and ecosystems to climate variability and hazards	High	Moderate	
Stakeholders	Moderate	Low	
Stakeholder Engagement/Coordination	Moderate	Low	
Stakeholder Grievances	Low	Low	
Overall	Moderate	Low	
Country Context		Substantial	Moderate
Political Commitment		Substantial	Moderate
<b>Risk:</b>  There is a risk that a Tajikistan's political developments result in delays or the potential reversal of key political decisions and commitments that underpin the project's success. Furthermore, there is a high risk that Tajikistan's government would decline future financing agreements with IFAD if the current financing terms remain. The worsened economic situation is likely to affect the level of political commitment of the country in a near future, and IFAD may lose the ground for other donors with more favourable debt sustainability framework		Substantial	Moderate
<b>Mitigations:</b>  IFAD needs to customize its development approach in Tajikistan. There is room for harmonizing approaches with other donors intervening in the country. Softened lending terms will be key for a sustained partnership with this country.			
Governance		Substantial	Moderate
<b>Risk:</b>		Substantial	Moderate

<p>There is a risk that Tajikistan exhibits governance failures that may undermine project implementation and achievement of project development objectives. Under these circumstances, chances are that the resources allocated to the project activities may be diverted for purposes other than those initially intended. Even where there is purposeful use, the efficiency will be impacted.</p>		
<p><b>Mitigations:</b></p> <p>The mitigation measures include regular follow-up of project implementation and management, capacity building and auditing. The capacity building activities include trainings, awareness raising, and participation in forums for sharing knowledge and best practices. Policy dialogue may also help in incentivizing government to take corrective measures.</p>		
<p>Macroeconomic</p>	Substantial	Moderate
<p><b>Risk:</b></p> <p>Macroeconomic policies might undermine government capacity to mobilize counterpart funding, and significantly impacting market dynamics of value chains. From IFAD perspectives, the perceived risks include the country's eventual defaulting on debt service.</p>	Substantial	Moderate
<p><b>Mitigations:</b></p> <p>Working out realistic debt sustainability framework with the country, and supporting the government in implementing the necessary reforms aiming to reinvigorate private sector development and to restore a diversified sustainable business and investment environment.</p>		
<p>Fragility and Security</p>	Substantial	Moderate
<p><b>Risk:</b></p> <p>Tajikistan is vulnerable to natural and man-made shocks including civil unrest, conflict, and/or weak governance structures and institutions. Tajikistan is afflicted with problems, such as poverty, food scarcity, limited freshwater resources, a high rate of debt, and limited employment opportunities among others. Weak governance and limited government capacity to address these problems coupled with exacerbated economic crisis risk to generate destabilization, unrest, and youth migration in search of remunerative employments in neighbouring countries.</p>	Substantial	Moderate
<p><b>Mitigations:</b></p> <p>Policy options placing focus on: (1) capacity-building of local stakeholders to build resilience and (2) increased efforts in measures to mitigate fragility in the country and improve the quality of life of all Tajiks.</p>		
<p>Sector Strategies and Policies</p>	Moderate	Low
<p>Policy alignment</p>	Moderate	Low
<p><b>Risk:</b></p> <p>The risk that Tajikistan's strategies and policies governing the rural and agricultural sector are not sufficiently pro-poor and/or aligned with IFAD priorities (e.g. on land, environment, climate, gender, indigenous peoples, nutrition, youth, private sector engagement), undermining project implementation and the achievement of project development objectives. However and so far, IFAD interventions align pretty well with priorities defined by the government of Tajikistan (country strategic note in 2016 and COSOP 2019-2024).</p>	Moderate	Low
<p><b>Mitigations:</b></p> <p>Through this collaborative framework, IFAD supports the country's agricultural sector, and works toward increasing the nutritional status and incomes in poor rural communities, building the capacity of central and local institutions to improve governance. The mitigations measures here include maintaining and reinforcing policy dialogue in order to maintain the engagement, and to ensure always that interventions align with national priorities. Political and social stability is key to maintaining the engagement framework.</p>		
<p>Policy Development and Implementation</p>	Moderate	Low
<p><b>Risk:</b></p> <p>A limited coordination between institutions for policy dialogue at inter-ministerial level, and limited communication flow between central and decentralized levels would risk reducing the commitment and engagement of all relevant actors. The risk that Tajikistan's strategies and policies governing the rural and agricultural sector lack a sound evidence base, are not representative of rural peoples' organizations views, are not adequately resourced or supported by legal/regulatory frameworks, and/or are unsustainable, undermining project implementation and the achievement of project development objectives.</p>	Moderate	Low
<p><b>Mitigations:</b></p>		

CASP+ will mitigate this risk by supporting an inclusive approach for project decision making and monitoring. It envisages substantial capacity development, including training where required and on-the-job learning opportunities, embracing all relevant institutions, and monitor implementation closely including via georeferencing Mitigation measures include continued and strengthened donor coordination and policy dialogue with government as a whole, and with key ministries; sustained and enhanced capacity building, and periodic reassessment of capital investment needs by the Government. These measures will help the country in its attempts to organize its economy for growth, and to capacitate its public institutions for sound delivery of public and investment projects. The government is undertaking many reforms aiming at solidifying institutions and improving the quality of governance and decision-making.		
<b>Environment and Climate Context</b>	Substantial	Moderate
Project vulnerability to environmental conditions	Substantial	Moderate
<b>Risk:</b>  Available estimates suggest that 82.3 percent of all land and 97.9 percent of agriculture land (including pastures) in the country suffer some level of erosion (high to medium erosion in 88.7 percent of this land). This contributes to landslides, which affect 36 percent of Tajikistan territory and 11 percent of its population. The risk factors include the negative contribution of IFAD project activities in increasing greenhouse gas emissions and land degradation. Climate change related hazards have a substantial impact in the project area and may hamper the project results. Losses have proven to be substantial and to affect the capacity of rural population to develop sustainable livelihoods pattern.	Substantial	Moderate
<b>Mitigations:</b>  CASP+ will mitigate this by generating opportunities for disaster risk reduction (typically, forestry and pasture investment, including in specific hot spots identified in collaboration with the Committee on Emergency and Civil Defence). Investments in climate adaptive and more resource efficient agricultural practices are expected to result in positive outcomes. These developments will also enhance the resilience of rural households to climate change and reduce their vulnerability to extreme weather events.		
Project vulnerability to climate change impacts	Substantial	Moderate
<b>Risk:</b>  Tajikistan is the most vulnerable country in Central Asia. Climate projections predict a worsening of the above-mentioned trends and events with significant impacts on these ecosystems and consequently on eco-system services, people's livelihood and the economy. The risk factors include IFAD projects failure to address issues of drought, degradation of pasturelands, lack of fodder, food insecurity, water scarcity, inundation/mudslides, erosion, etc., all of which contributing to exacerbate poverty.	Substantial	Moderate
<b>Mitigations:</b>  The projects explore income-generating options beyond livestock to gradually reduce grazing pressure on pastures and mitigate the impact of climate change by establishing Pasture User Unions to manage the common pastures. They also provide financing and technical assistance to encourage and nurture new economic activities through which the most vulnerable of the rural society – mainly women – can build and develop additional sources of income as a safety net.		
Project Scope	Moderate	Low
Project Relevance	Moderate	Low
<b>Risk:</b>  CASP+ is relevant to the national development priorities as it comes under the framework of the National Development Strategy 2016-2030. On demand by the Government, this project will upscale the positive outcomes and impacts achieved by KLSP and LPDP. It will contribute in stimulating inclusive economic growth and reduction of poverty in rural communities. It will further improve access of communities to productive infrastructure and services leading to sustainable agricultural production and equitable returns.	Moderate	Low
<b>Mitigations:</b>  To mitigate the eventuality of CASP becoming irrelevant, IFAD must ensure that implementation stays on track to achieving the development objective.		
Technical Soundness	Moderate	Low
<b>Risk:</b>  IFAD's current country program consists of the Livestock and Pasture Development Project I and II and CASP I. These projects focus on income diversification and promote alternative sources of income to diversify household economies. The effective implementation of these projects will lead to established socio-economic resilience, enhanced women's nutritional	Moderate	Low

status and incomes. Under this section, the risk factors include the lack of appropriate implementing agency, the lack of qualified human resources, and poor quality of coordination of activities limiting the effectiveness of projects delivery.		
<b>Mitigations:</b>  In order to reduce the likelihood of these risks to occur, IFAD must make sure terms of reference about the profile of the implementing agency are clear enough, and to collaborate closely with the government of Tajikistan in the selection process. Additionally, it will be of utmost importance to ascertain that the government adheres to IFAD procurement rules and procedures.		
Institutional Capacity for Implementation and Sustainability	Moderate	Low
Implementation Arrangements	Moderate	Low
<b>Risk:</b>  The low capacities of decentralized institutions in charge of critical activities may hamper the success of the community investment. In Tajikistan, public institutions are usually poorly equipped, lack qualified personnel, and have insufficient financial resources. Here the risk relates to the absence /lack of trained /qualified staffs, which leads to difficulties in effective delivery of projects (poor targeting, poor financial and procurement management, poor quality of data management, etc.).	Moderate	Low
<b>Mitigations:</b>  Capacity building and institutional support should not be limited to training and grants providing. Mentoring programs, fixed-term, in-house international or national experts, an on-call international expert, institutional twinning and partnerships, short-term expert coaching, and study tours can all be effective ways of capacity building. These capacity-building activities should be participative and inclusive of women and youth to the extent possible. To improve project governance and efficiency, a national Project Steering Committee will be setup, providing overall guidance and project consistency, and maintain oversight of the Project's Annual Work Plans and Budgets. The experienced Project Management Unit (PMU) will be responsible for overall project implementation as Leading Agency, jointly with pre-selected additional implementing partners.		
Monitoring and Evaluation Arrangements	Moderate	Low
<b>Risk:</b>  The CSP M&E system has a three-level structure, consisting of output monitoring, outcome monitoring and impact evaluation. A logical framework was established at design with the three layers of indicators. The AWPBs provide the targets for first level monitoring. PMU is responsible for regular data collection and reporting as project activities roll out. The M&E related risk factors include the likelihood of data not being properly or timely collected. Data collected may not be representative of outputs and outcomes due to miscalculation or tallying issues. Data must also be adequately disaggregated. Furthermore, risks at this level may also be about the qualification of the project M&E specialist, and their overall use of appropriate tools.	Moderate	Low
<b>Mitigations:</b>  IFAD must make sure that capacity-building trainings are provided to assist project M&E staff with, and that the data collection tools in use are in conformity with IFAD guidelines. Regular missions must do fact checking to ensure data quality and reporting. Regular assessment need to be carried out in order to determine and apply corrective measures.		
Project Financial Management	Moderate	Low
Project Organization and Staffing	Substantial	Moderate
<b>Risk:</b>  SEPMU: 1- PMU is currently responsible for a two projects (CASP & LPDP II). With the proposed segregation of duties and hiring of additional staff, PMU may have an ability to take another project. 2- Contrary to current projects, this new project includes other international donors as co-financers and has higher value which would require additional time and resources. 3- Risk that new staff for CASP+ do not get proper trainings on IFAD procedures. Risk of the language barrier where not full understanding is obtained. 4- Current Finance Manager is expected to manage this project finances along with the other two ongoing projects. This additional project is expected the work load. 5- Currently PMU does not undertake staff performance evaluations / do not identify areas of improvement (and training needs). 6- No set of the Manuals and Guidelines 7-Staff has previous experience working with international donors' projects. CEP: 1- CEP is currently responsible for a large workload of projects, but with the proposed segregation of duties and hiring of additional; staff, may have an ability to take another project.	Substantial	Moderate



<p>2- Currently not all the staff of financial department is hired  3- Not all CEP staff have completed the IFAD training, FMS had in previous years.  4- CEP does not undertake staff performance evaluations / do not identify areas of improvement (and training needs).  5- No set of the Manuals and Guidelines  6- Staff has previous experience working with international donors' projects.</p>		
<p><b>Mitigations:</b></p> <p>SEPMU:  1-For current projects, SEPMU is managing the financial aspects properly and has been rated from satisfactory to highly satisfactory. LPDP II is closing in September 2021 which will be before the start of CASP+.  2- For this new project, PMU should ensure that the finance manager allocates 50% of her/his time to CASP+. In addition three additional staff in the Financial Department in order to ensure the right level of the internal control and obedience with the IFAD procedures (accounting specialist and Finance officer/consultant).  CEP:  - The structure of CEP should include at least one finance manager, one finance/disbursement officer and one accountant working on CASP+ project. CEP should carefully plan the training process of on-boarding staff. It is recommended to have a probation period of two month for the Finance Department staff. Financial Manuals, Guidelines and Plans have to be developed, approved, signed, and updated accordingly.  Both:  1- PMU/CEP should carefully plan the training process of on-boarding staff. Financial Manuals, Guidelines and Plans have to be developed, approved, signed, and updated accordingly.  2- All new finance staff should take IFAD FM e-learning course within one month of recruitment/project start-up. Course is available in Russian.  3- Capacity building plans on IFAD procedures to be supported by Russian speaking consultants as applicable and available.  4- PMU/CEP should establish the performance evaluation system and ensure that project staff are evaluated on annual basis.  5- IFAD anti-corruption policy should be part of new staff induction.</p>		
<p>Project Budgeting</p>	<p>Moderate</p>	<p>Low</p>
<p><b>Risk:</b></p> <p>Current PMU practice: The first step in the Annual Budgeting process is a review of financial plan. Therefore before the beginning of each financial year, PMU staff review and revise as necessary the financial plan for changes due to: delays in expenditures, assumptions, line items, activities, etc. In this way the Annual Budget for the coming year will reflect changes in the budget. This will avoid reporting and analysing variances that have not yet been reflected in an updated AWPB. It also ensures that planning data remain realistic so that variance analysis remains meaningful. Significant and material changes (as opposed to minor adjustments) in the financial plan require Government and IFAD approval and may require updating of the Project legal agreements and Project Cost Tables.  The Annual Budget is broken down by quarter to take into consideration the seasonality of cash flows. The Project includes in its Annual Budget tables a current summary financial plan. Additionally, PMU budgets are to be prepared in accordance with the IFR format, including disbursement categories, components and activities, financiers, account codes and are to be divided by quarters. They are to be in line with the Project Implementation Plan. The detailed Annual Budget provides a basis against which to compare actual results. The Annual Budget is the document that provides a basis for monitoring the financial aspects of the Project and identifying areas that require corrective action. The PMU should bear in mind that the annual budget should be tightly linked to procurement plans and physical targets. Budgetary processes are closely monitored by Finance Manager Specialist and Finance Consultant, who are responsible for presenting the draft PMU budget for a given year. The procurement specialist, while working on the procurement plans, has to take into consideration financial information provided by the Chief Accountant (e.g., cash flow). The process of detailed budgeting for the Annual Budget for the coming financial year begins in last quarter of current year.</p>	<p>Moderate</p>	<p>Low</p>
<p><b>Mitigations:</b></p> <p>1- The budgeting process for current SEPMU is in accordance with IFAD requirements, forecasting takes place, and regular comparison of actual and projected budget takes place. AWPB for current projects is submitted on time.  2- The AWPB template should be updated in the project Finance Manual.  3- It is the SEPMU responsibility to consolidate and submit the AWPB on time, SEPMU should properly coordinate and manage the process to avoid any delays.  4- Both SEPMU &amp; CEP should ensure that monthly meetings are conducted at each unit to discuss financial performance against budget figures and to discuss variations.  5- On quarterly basis, SEPMU should prepare consolidated budget vs actual report and should arrange for a meeting with CEP to discuss performance, variance and actions to be taken (as needed).</p>		

6- Minutes of the meetings for the monthly meetings at each unit and for the quarterly meetings for both units to be documented and filed properly.		
Project Funds Flow/Disbursement Arrangements	Moderate	Low
<p><b>Risk:</b></p> <p>SEPMU:</p> <p>1- SEPMU has experience disbursing from IFAD funds through the imprest account. Current projects are using the Direct payment method for USD payments due to difficulties in hard currency payments in the country.</p> <p>2- IFAD is the only source of the funds for the current projects.</p> <p>3- For CASP+ project there will be other sources of funds from international donors such as GCF and FAO which are currently under revision.</p> <p>CEP:</p> <p>1- No experience in disbursing from IFAD funds.</p> <p>2- Existing projects have WB loans which are disbursed in USD and have experienced exchange minimum rate losses (USD to TJS)</p> <p>3- Delays in receiving government contributions. Bills are not paid on time sometimes. This is mainly since the accrual system and the prepayment system for utilities is not applied in Tajikistan.</p> <p>4- Delays in receiving community contributions related to matching grant mechanism (with impact on project disbursements).</p>	Moderate	Low
<p><b>Mitigations:</b></p> <p>SEPMU/CEP:</p> <p>1- Beneficiaries will not receive funds directly instead goods, equipment and infrastructure facilities to be distributed to them, this will reduce the risk of flow of fund.</p> <p>2- 1C software eliminates exchange rate risks, timely bank reconciliations have to be performed on the regular basis. Proposed 1C Accounting Software has cash flow forecasting module which is relied on to determine the local currency cash need daily. Project funds are kept in the USD account until needed, limiting exposure to exchange rate fluctuations. The PAID stamp has to be used for the supporting documents.</p> <p>3- Existing projects have reasonable disbursement rates and PMU is well experienced in the IFAD disbursement process.</p> <p>4- Each unit should open separate bank account for each finance instrument and for each financier to ensure tractability of funds.</p> <p>5- Contrary to previous projects, for CASP+, report based mechanism to be explored to be used for the project instead of replenishment of the imprest fund. Under report disbursement method, project will be withdrawing based on submission and clearance of IFRs.</p>		
Project Internal Controls	Moderate	Low
<p><b>Risk:</b></p> <p>1- Training on the importance of the internal control should take place</p> <p>2- Manuals and Guidelines on internal controls are weak. It is suggested to hire additional internal audit specialist to ensure that there is a decent level of internal control.</p> <p>3- IFAD projects are subject to ex-post review by the Accounts chamber and by the Agency for State Financial Control and Fight with Corruption of the Republic of Tajikistan.</p>	Moderate	Low
<p><b>Mitigations:</b></p> <p>1- Beneficiaries will not receive funds directly instead goods, equipment and infrastructure facilities to be distributed to them, this will reduce the risk of flow of fund.</p> <p>2- Hiring staff for the financial department (experienced and educated) is crucial part to make sure there is proper level of the segregation. FMS currently performs most of the duty which decreases the level of internal control and increases the level of material misstatement.</p> <p>3- The Financial Manual has to be developed in order to document detailed controls related not only to PMU but also activities on the project field especially matching grants.</p> <p>4- The Financial Manual to document detailed controls related to payments/disbursements to smaller implementing partners/ community grant payments/disbursements.</p> <p>5- Procure the service of an independent internal audit firm to perform an annual review of project activities for both PMU &amp; CEP. The audit plan should focus largely on the activities of the smaller implementing agencies which is contracted by the PMU. This firm to report to the project steering committee to ensure independence</p>		
Project Accounting and Financial Reporting	Moderate	Low
<p><b>Risk:</b></p> <p>1- 1C software is used by both CEP and SEPMU. These systems are not integrated.</p> <p>2- Accounting software of smaller implementation agencies are not integrated with PMU and transactions are recorded manually by the PMU based on monthly reports provided by the implementing agencies. Advances are monitored to ensure timely justification of underlying expenses.</p> <p>3- The PMU is using an outdated version of 1C (7,7) and there is a risk that technical support will not be available. (CEP is using the most recent version 8,3)</p> <p>4- Need to accurately record and account for in-kind contributions.</p>	Moderate	Low

<p>5- Annual financial statements and reports to be as per IFAD and the followed accounting standards.</p> <p>6- Lack of regular monitoring of consolidated performance among both parties.</p> <p>7- As GCF and FAO are potential co-financiers, there is a risk that donors reporting requirements are not met and complied with.</p>		
<p><b>Mitigations:</b></p> <p>SEPMU:</p> <ol style="list-style-type: none"> <li>1- Require PMU to fill the vacancy of the Internal Auditor before project start-up.</li> <li>2- Before the project start PMU to upgrade the 1C to 8.3 version</li> <li>3- Before the project starts IFRs templates to be updated in the accounting software to facilitate withdrawal process since the project is planned to be using report based disbursement.</li> <li>4- SEPMU prepares consolidated financial reports for the purposes of monitoring and reporting to IFAD (IFRs and AFS).</li> <li>5- Consolidated financial reports to be submitted on quarterly basis to IFAD</li> </ol> <p>CEP:</p> <ol style="list-style-type: none"> <li>1- CEP to fill the vacancy of the Internal Auditor before project start-up.</li> <li>2- CEP team to complete the IFAD FM e-learning course within 2 months of project start-up. fore the project starts IFRs templates to be updated in the accounting software to facilitate withdrawal process since the project is planned to be using report based disbursement.</li> <li>3- Before the project starts IFRs templates to be updated in the accounting software to facilitate withdrawal process since the project is planned to be using report based disbursement.</li> </ol> <p>Both:</p> <ol style="list-style-type: none"> <li>1- Financial statements/reports to include, but not to be limited to,: budget vs. actual comparison, DA statements &amp; Reconciliations, WA statement, sources and uses of funds statements per categories and per components and financiers, cash receipts and payments statement, fixed asset schedule and disclosure of in-kind contribution.</li> <li>2- Both SEPMU and CEP to monitor the performance of the components for which they are responsible.</li> <li>3- PDR, LTB and the finance manual to include details that cover additional reporting requirements for co-financiers.</li> </ol>		
Project External Audit	Moderate	Low
<p><b>Risk:</b></p> <p>As per the local legislative environment, IFAD projects in Tajikistan are not audited by the Account Chamber of the Republic of Tajikistan which is the Supreme audit body in the country, instead private audit firms are contracted after completion of the tendering process.</p> <p>SEPMU:</p> <ol style="list-style-type: none"> <li>1- Auditor assigned for the last couple of years for LPDP II is Baker Tilly international and the local branch for the first year and RSM for the last two years.</li> <li>2- Audit work to be performed as per the followed standards, IFAD requirements and a cleared TOR by IFAD FO. The TORs should require the auditor to provide a Management letter – a report on internal controls and operating procedures (Annex I to POM).</li> <li>3- The audits must be provided to IFAD within the deadline for the revision.</li> </ol> <p>CEP:</p> <ol style="list-style-type: none"> <li>1- Auditor assigned for the last couple years is Baker Tilly international al local branch. The risk of familiarity presents</li> <li>2- Newly appointed project auditor for RPLP may not be familiar with the audit of donor funded projects in Kyrgyzstan.</li> <li>3- Auditor TOR does not adequately address the audit of a sample of community grants with the intention of confirming the eligibility of expenditure. (community grants are considered high risk due to general lack of financial management capabilities /arrangements).</li> </ol>	Moderate	Low
<p><b>Mitigations:</b></p> <ol style="list-style-type: none"> <li>1- The performance of Baker Tilly/RSM, auditors for LPDP II for the last three years has been rated between satisfactory and highly satisfactory. Rely on independent external auditor from the private sector to perform the audit Project FS, rotate auditors every three years.</li> <li>2- Auditor TOR/procurement process should specify the requirement that the auditor have prior donor funded project audit experience. (to be outlined in Financial Manual)</li> <li>3- Audit TOR to be cleared by IFAD FO</li> <li>4- Require the project to inform the newly appointed auditor of IFAD requirements (as per Handbook) through the audit TOR.</li> <li>5- Recommend the use of a single auditor for all IFAD funded projects in Tajikistan (subject to procurement processes being followed).</li> <li>6- Tendering to take place every 3 years as per country legislation and regulations. (noting that it is 4 years as per IFAD requirements)</li> <li>7- SEPMU is the responsible party for coordinating the audit work after the year-end and for submitting the unaudited financial statements within 4 months of year-end and submitting final audit report within 6 months of year-end to IFAD.</li> </ol>		
Project Procurement	Moderate	Low

Legal and Regulatory Framework	Low	Low
<b>Risk:</b>  The national procurement manual does not sufficiently reflect the current procurement legislative framework and no contract management manual exists. Despite the development of a draft new law, there is need for further improvement in the area of tenders' definition, complaint resolution and following international standards. In addition, only one Standard Bidding Document is available for customization and adoption based on the type of procurement and method, and SBD does not include a standard contract form.	Low	Low
<b>Mitigations:</b>  The project procurement sections of the PIM, was updated to mitigate the inconsistency of a national procurement manual. Use of and compliance to IFAD Procurement Guidelines and Procurement Handbook will be a critical mitigation measure.		
Accountability and Transparency	Substantial	Moderate
<b>Risk:</b>  According to Public Expenditure and Financial Accountability Assessment, the current mechanism for administrative complaints resolution is not independent and a single tier of complaints risks to reduce its effectiveness. The independence of Public Anticorruption entities is weak and all fall under the executive body. The risk that accountability, transparency and oversight arrangements are inadequate to safeguard the integrity of project procurement and contract execution, leading to the unintended use of funds or execution of project procurements outside of the required time, cost and quality requirements.	Substantial	Moderate
<b>Mitigations:</b>  The terms, procedures, and responsibilities as clearly specified in the IFAD Policy on preventing fraud and corruption in its activities and operations will be strictly followed and their observation supervised by IFAD. IFAD's Anti-corruption hotline will be disseminated in all bidding documents.		
Capability in Public Procurement	Low	Low
<b>Risk:</b>  While the PMU has a long and solid history of procurement under IFAD financed projects, for the additional implementing agency CEP (and its Project Implementation Group) it will be the first project. This may entail some initial delays.	Low	Low
<b>Mitigations:</b>  Continuous capacity development of PMU and CEP will be provided, to ensure timely procurement. CEP's large volume of procurement is envisaged to start from year two and three, which leaves sufficient time for CEP to develop internal capacity and fill any competency, skills and knowledge gaps on IFAD procurement procedures. PMU and CEP will mobilize an additional procurement specialist/assistance.		
Public Procurement Processes	Moderate	Low
<b>Risk:</b>  There is a latent risk of limited participation of bidders, due to envisaged fee for the bidding documents (NCB/ICB). The general limited procurement expertise is invested in AWPB preparation needs to be addressed to ensure embedding sufficient time for with procurement. A risk of non-transparent proceedings is present due to evidence of not sharing minutes of bid opening process under ICB/NCB and not publicizing awards (NCB).	Moderate	Low
<b>Mitigations:</b>  The possibility of submitting a free electronic version of the bidding document to the participants will be considered. During CASP+ implementation, all implementing agencies will prepare the AWPB in consultation with the Procurement Officer. The procedures of dissemination of bid opening minutes and publication of awards will be rigorously implemented to mitigate risks non-transparent proceedings. Capacity development provided to the implementing agencies in the initial stages of the project will ensure that procurement documentation is in line with the standard forms agreed with IFAD – especially for CEP which is at the first experience of IFAD-financed operations.		
Environment, Social and Climate Impact	Moderate	Moderate
Biodiversity Conservation	Moderate	Moderate
<b>Risk:</b>  A stocktaking by the World Bank states that Tajikistan has the unfortunate distinction of being the country that is the most vulnerable to climate change in Europe and Central Asia, because of its relatively high exposure, high sensitivity, and very limited capacity to adapt to climate change. The country faces a huge challenge of making the most of its limited resources to address climate threats while also promoting economic and social development.	Moderate	Moderate

Also, the risk of mismanagement of pasturelands or misuse of water resources is perceptible, as most stakeholders lack the required skills and knowledge.		
<b>Mitigations:</b>  The CASP project seeks to reduce pressure on grazing lands, and to preserve natural resources and biodiversity. To this end, the project requires that for each activity, an environmental impact assessment be carried out, as well as mitigation measures defined before the activity is approved. The project intervention districts and villages are all sensitized to minimize the negative environmental effects of all their activities under the project, and to present plans for compensating or mitigating any such occurrences.		
Resource Efficiency and Pollution Prevention	Moderate	Moderate
<b>Risk:</b>  In Tajikistan, pollution is further exacerbated by deforestation leading to desertification of some areas. Available estimates suggest that 82.3 percent of all land and 97.9 percent of agriculture land (including pastures) in the country suffer some level of erosion (high to medium erosion in 88.7 percent of this land), poorly adapted farming practices, with intensive agriculture activity on slopes, excessive use of pesticides and fertilizers for some commercial crops, poor irrigation practices (e.g. seepage losses, siltation, 60-80 percent water use inefficiency, water logging) causing water erosion in 97 percent of farmland and salinization in 16 percent of irrigated lands. Risk resulting from environmental degradation include threats of soil pollution and nitrate contamination of surface waters, and landslides, which affect 36 percent of Tajikistan territory and 11 percent of its population.	Moderate	Moderate
<b>Mitigations:</b>  The project integrates adaptive and resilient activities as well as mitigation measures in its intervention. With low level of income and education, most project beneficiaries lack the skills for developing adaptation measures. The project helps them build their capacities, so that they are able to apply recommended corrective measures.		
Cultural Heritage	Low	Low
<b>Risk:</b>  The project has no threats to or the loss of resources of historical, religious or cultural significance.	Low	Low
<b>Mitigations:</b>  N/A		
Indigenous People		No risk envisaged - not applicable
There are no indigenous people in the project area.		
Labour and Working Conditions	Moderate	Moderate
<b>Risk:</b>  Within its climate adaptation angle, CASP+ will create income-generating activities at community-level with the purpose of offering remunerative job opportunities to women and youth. This is likely to reduce male-migration at long run, and stabilize women-headed households. There is risk about elite capture of income-generating activities as poor people are difficult to setup at their own. In addition, the risk of poor targeting may further contribute to that elite capture.	Moderate	Moderate
<b>Mitigations:</b>  Targeting must be participatory, and in compliance with guidelines from the project design paper. Access to enhanced incomes and productive services will further stabilize the country and significantly reduce increase household resilience. Rural women are also engaged in off-farm income generating activities. Such activities are particularly important to the poorer women who have limited access to productive assets, such as land and livestock. IFAD missions shall follow-up on the targeting approach, and further discuss and address any flaws in the process with project staff.		
Community Health and Safety	Substantial	Moderate
<b>Risk:</b>  The COVID-19 impact on rural economies and their business development potential has been significant. Market linkages became weaker and the capacity of SMEs to procure agricultural products from project areas is more limited. Nevertheless, it is critical to include support to establishing such linkages and facilitate the creation of opportunities for employment and self-employment for rural people, especially youth and women female headed households.	Substantial	Moderate
<b>Mitigations:</b>		

The overall implementation will factor-in procedures and protocols to proactively ensure high standards of minimization of health risks related to the ongoing pandemic. Specifically this will entail reducing movements in-country and international travel to a minimum (yet adapting to its possibility in case of lowering health alerts), ensuring social distancing measures in place in community mobilization, trainings and dialogues, monitoring and as appropriate contribute to the availability and use of equipment and supplies to communities, service providers (such as hydro-alcoholic gel, masks, etc...).		
Physical and Economic Resettlement		No risk envisaged - not applicable
The project and its sub-projects will not require resettlement		
Greenhouse Gas Emissions	Moderate	Low
<b>Risk:</b>	Moderate	Low
Tajikistan's total GHG emissions represent 0.02 percent of global GHG emissions. 52.0 percent of Tajikistan's carbon equivalent emissions originate from agriculture, mostly from livestock related activities.		
<b>Mitigations:</b>		
To address the issue of climate change, CASP+ adopts a comprehensive approach to climate change adaptation with a focus improved ecosystems management, including improved pasture and forests – coupled with improved livestock husbandry practices, which ultimately will increase carbon sequestration. These measures are implemented through Climate-sensitive Community Action Plans, as under close follow-up from both IFAD supervisory body and the PMU and the overall oversight on climate change mitigation from CEP.		
Vulnerability of target populations and ecosystems to climate variability and hazards	High	Moderate
<b>Risk:</b>	High	Moderate
The high proportion of the population depending on natural resources (with over 66 percent of people engaged in agriculture); the high food vulnerability (with two thirds of the agricultural production depending on irrigation and 5 percent of territories under cereal crops depending on precipitation); and the high level of gross agricultural output losses caused by disasters (annual losses attributable to climate events of one third of all losses), confirm the significant vulnerability of target populations. Climate change will inevitably cause overall environmental deterioration in rural areas through mass agricultural land degradation, deteriorated soil quality and decreased natural soil fertility.		
<b>Mitigations:</b>		
The degree of vulnerability of target population associated with the deteriorated ecosystems justify climate change intervention either embedded in IFAD projects, or intervening in partnership with Tajikistan government.		
Stakeholders	Moderate	Low
Stakeholder Engagement/Coordination	Moderate	Low
<b>Risk:</b>	Moderate	Low
Under the overall responsibility of the MoA and CEP, CASP+ seeks to improve the assets and incomes of selected rural communities, including smallholder farmers, small rural processing enterprises, input suppliers and service providers, and the rural unemployed by improving production in terms of building/renovating key infrastructure, capacity enhancement, provision of improved services and innovative technologies. Project support would be targeted, demand-driven and participatory. The key risk factor here is about stakeholders' lack of interest or failure to take ownership of the project's activities and results. This situation may stem from a poor quality of project management and delivery approach. If this happens, the sustainability of the project's outcomes will be compromised. Such risk factors are unlikely, as the project very much aligns with the country priorities.		
<b>Mitigations:</b>		
As mitigation measures, it will be important to regularly follow-up and make sure the project reaches out to the right targeted groups. An annual outcome survey will be a good practice to ascertain that targeted populations do participate in project activities, and take ownership for achievements.		
Stakeholder Grievances	Low	Low
<b>Risk:</b>	Low	Low
During the design, the relevant stakeholders were consulted and there is a low risk of stakeholders disagreeing with the way project resources are allocated as per design, PIM and due processes.		
<b>Mitigations:</b>		

<p>The project has developed a sound grievance redress mechanism, consistent between all financiers and for all implementing agencies. The project will work with stakeholder platforms that include a wide range of stakeholders to coordinate the allocation of project resources, make decisions and adjust activities. This will reduce the potential for grievances and ensure that the mechanism is clear and accessible to all project parties.</p>		
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