Project Performance Report

Overview

Period of Report (Dates)	5/1/2023 - 4/30/2024
Project Title	Reducing vulnerabilities of populations in the Central Asia region from glacier lake outburst floods in changing climate
Project Summary	The project aims to address risks posed by GLOFs through strengthening the scientific and analytical capacities of institutions and government officialsresponsible for disaster risk reduction (DRR) and emergencies, through community-gender sensitive based approaches using participatory methods and public awareness campaigns to bring the attention of decision makers as well as the general public for the subject of risks associated with GLOFs. The project will encompass activities on potential outbursts for current glacier lakes and those that will become critical in near future in the light of changing climate.
Database Number	AF00000092
Implementing Entity (IE)	United Nations Educational, Scientific and Cultural Organization
Type of IE	Multilateral Implementing Entity
Country(ies)	Regional (Kazakhstan, Kyrgyz Republic, Tajikistan, Uzbekistan)
Relevant Geographic Points (i.e. cities, villages, bodies of water)	Esik and Talgar (Kazakhstan), Ala-Archa and Ton-Tosor valleys (Kyrgyzstan), Shugnon district (southwestern part of the Pamir Range, Tajikistan), Pskem and Tepar (Uzbekistan)
Name of Implementing Entity Focal Point	Mr Amir Piric, Director, UNESCO Almaty Regional Office

Project Milestones	
AFB Approval Date	10/15/2020
IE-AFB Agreement Signature Date	1/14/2021
Start of Project/Programme	4/29/2021
Actual Mid-term Review Date (if applicable)	5/23/2024
Original Completion Date	10/28/2026
Revised Completion Date after approval of extension request (if applicable)	

Were there any approval condition for this Project?

No

List each approval condition, if any, and report on the status of meeting them	
Category of condition	
Condition or Requirement	
Current Status	
Planned actions, including a detailed time schedule	

List (only) inception report/ extension request(s)/ MTR that have been prepared for the project and provide date(s) of submission for each
Inception Report with Annexes, submitted on 2 June 2021; MTR submitted on 23 May 2024.

List the Website address (URL) of project
https://glofca.org/

Project Contacts			
National/Regional Project Manager/Coordinator	**Name**	**Email**	**Date**
Coordinator	Ms Natalya Kim	n.kim@unesco.org	9/1/2021
Implementing Entity	Mr Jayakumar Ramasamy	r.jayakumar@unesco.org	4/29/2021
Executing Agency	Mr Amir Piric	a.piric@unesco.org	4/1/2023
Government(s) DA	Ms Saule Sabieva (Kazakhstan)	s.sabieva@ecogeo.gov.kz	4/30/2024
Government(s) DA	Ms Dinara Kutmanova (Kyrgyz Republic)	Nature_kg@mail.ru	4/30/2024
Government(s) DA	Mr Bahodur Sheralizoda (Tajikistan)	chairman@tajnature.tj	4/30/2024
Government(s) DA	Mr Aziz Abdukhakimov (Uzbekistan)	abdukhakimov@eco.gov.uz	4/30/2024

Financial Data

Disbursement of AF grant funds	
Cumulative total disbursement from Trustee to IE as of date ($)	$4,922,732.00
Estimated cumulative total disbursement from IE to EEs as of date ($)	$4,558,085.00
Project disbursement rate (%)	75.73
Project execution rate (%)	75.73
Add any comments on AF Grant Funds	In accordance with the disbursement schedule indicated in the Agreement, UNESCO has received cumulative 4,922,732 USD as the first, second and third tranches (830,033 USD for the Year 1; 2,127,869 USD for the Year 2; and 1,964,830 USD for the Year 3). The cumulative total disbursement from IE (UNESCO Headquarters) to EE (UNESCO Almaty Office) is 4,558,085 USD. The disbursed funds have been executed up to 46.45% over the

	reporting period.
Investment Income ($)	$0.00
Cumulative Investment Income since inception ($)	$0.00

Expenditure Data

Output	Amount ($)
Output 1.1: Appropriate mapping and monitoring strategies developed and endorsed	$70,000.00
Output 1.2: Up-to-date atlas on glacier lakes for each country based on remote sensing data developed and maintained	$291,880.81
Output 1.3: Organizational capacity to implement and oversee mapping and monitoring strengthened, with an emphasis on regional cooperation on transboundary hazards	$156,553.69
Output 2.1: Vulnerability assessment and exposure maps developed for endangered communities, including gender and sector-specific analyses	$30,000.00
Output 2.2: Local risk reduction plans drafted for selected communities vulnerable to GLOFs	$140,000.00
Output 2.3: DRR and CCA concepts mainstreamed into sub-national development planning in the relevant country context	$204,105.51
Output 3.1: Local to regional framework of institutional DRR context established and evaluated	$21,358.73
Output 3.2: Design and implementation plans for four site-specific EWS completed	$557,169.72
Output 4.1: EWS tested in selected vulnerable communities	$94,244.65
Output 4.2: Complimentary adaptation measures implemented	$134,367.93
Output 5.1: Web-based knowledge-platform established on GLOF risks and adaptation strategies	$81,867.68
Output 5.2: Education and training programmes undertaken to equip stakeholders with knowledge and capacity to prepare for, respond to and recover from GLOF disasters	$205,582.92
Output 5.3: Knowledge and lessons learned from the targeted demonstration projects disseminated within Central Asia and across other high mountain regions	$95,949.54

IE fee ($)	$169,362.39
Execution cost ($)	$33,948.72

Planned Expenditure Schedule

Output	Projected Cost ($)	Estimated Completion Date
Output 1.2: Up-to-date atlas on glacier lakes for each country based on remote sensing data developed and maintained	$8,119.19	4/30/2025
Output 1.3: Organizational capacity to implement and oversee mapping and monitoring strengthened, with an emphasis on regional cooperation on transboundary hazards	$203,446.31	4/30/2025
Output 2.1: Vulnerability assessment and exposure maps developed for endangered communities, including gender and sector-specific analyses	$160,000.00	4/30/2025
Output 2.2: Local risk reduction plans drafted for selected communities vulnerable to GLOFs	$300,000.00	4/30/2025
Output 2.3: DRR and CCA concepts mainstreamed into sub-national development planning in the relevant country context	$219,094.49	4/30/2025
Output 3.1: Local to regional framework of institutional DRR context established and evaluated	$28,561.27	4/30/2025
Output 3.2: Design and implementation plans for four site-specific EWS completed	$440,430.28	4/30/2025
Output 4.1: EWS tested in selected vulnerable communities	$1,065,755.35	4/30/2025

Output 4.2: Complementary adaptation measures implemented	$365,632.07	4/30/2025
Output 5.1: Web-based knowledge-platform established on GLOF risks and adaptation strategies	$38,132.32	4/30/2025
Output 5.2: Education and training programmes undertaken to equip stakeholders with knowledge and capacity to prepare for, respond to and recover from GLOF disasters	$192,395.08	4/30/2025
Output 5.3: Knowledge and lessons learned from the targeted demonstration projects disseminated within Central Asia and across other high mountain regions	$74,922.46	4/30/2025

IE fee ($)	$250,769.61
Execution cost ($)	$38,125.28

Actual co-financing (if the MTR or TE have not been undertaken this reporting period, do not report on actual co-financing)	
Does this Project have Co-Financing ?	No
How much of the total co-financing as committed in the Project Document has actually been realized? ($)	$0.00
Estimated cumulative actual co-financing as verified during Mid-term Review (MTR) or Terminal Evaluation (TE). ($)	$0.00
Add any comments on actual co-financing in particular any issues related to the realization of in-kind, grant, credits, loans, equity, non-grant instruments and other types of co-financing.	

Risk Assessment

Identified Risks

List all Risks identified in project preparation phase and what steps are being taken to mitigate them

Identified Risk	Current Status	Steps taken to mitigate risk
Financial and Economic: • The overall economic situation is deteriorating, and migrant workers are returning to Central Asia and governments in the region do not consider DRR a high priority any more • Governments reduce their funding for DRR	Low	The project team ensured that the necessity for DRR is continuously emphasized through awareness-raising events, meetings with specialists and decision makers from participating countries. The project representatives advocated for the inclusion of DRR aspects in the countries' UN Sustainable Development Cooperation Frameworks and respective Joint Work Plans. Besides, the Central Asian governments' representatives have repeatedly reaffirmed their strong interest in and commitment to DRR at a number of regional and international events. The recent initiatives of Kyrgyzstan on Sustainable Mountain Development (2022) and the Five Years of Action for the Development of Mountain Regions (2023-

		2027), as well as of Tajikistan on the International Year of Glaciers Preservation (2025) reaffirmed these Governments' commitments to DRR agenda, with a particular focus on water-related and climate-induced hazards.
Technical: • The proposed technical solutions might prove to be too ambitious • The web-based management/content management system might face acceptance problems • There is a lack of internet access in rural areas	Moderate	The key national implementing partners are being gradually involved in the project planning through a number of consultation meetings and regular communication exchange to ensure the technical solutions to be proposed under the project meet the countries' expectations and requirements. A series of working technical meetings, including a regional exchange workshop, were organized to present the project's technical solutions (EWS concepts) to the national implementing partners and address their possible concerns. Bilateral discussions are being organized at country level to make sure that the national institutions are fully engaged in and consulted during the development of the project's technical solutions. However, lack of consensus on the technical aspects of the EWS between the different local institutions, and in some cases disagreement with the project team has been significantly delaying the overall EWS design process: for example, in Kyrgyzstan the local scientists tend to develop a monitoring, rather than an early warning system, which is required as per the project logframe. A series of technical workshops and joint sessions have been organized to bridge the gap between local scientists and the project team in Kyrgyzstan. These efforts focus on aligning perspectives and requirements, ensuring that the designed EWS meets both scientific and practical needs. Besides, the project is planning to increase the number of information sessions and focus group discussions with the local implementing partners and governmental authorities in charge to make sure those key stakeholders are meaningfully involved in the project activities and accept the proposed technical solutions. The issue of poor internet connection remains acute for some pilot communities. The project will consider introduction of low-tech solutions in this case.
Social and Political: • The political and security situation in pilot districts may affect project implementation or weaken the interest of stakeholders to address adaptation planning issues • Lack of incentives for local communities to cooperate in activities that do not yield immediate	High	Over the reporting period, the overall political and security situation in most of the pilot districts remained stabilized, except for the target area in Tajikistan (Gorno-Badakhshan Autonomous Region), where the political situation has deteriorated significantly. The

results, but aim at longer-term resilience, may reduce stakeholder engagement and strong participation • Implementing partners for local level initiatives and pilot sites for project implementation may shift during project implementation, due to unforeseen (e.g. political, lack of interest) reasons • Hazard and risk mapping can lead to marginalised and vulnerable communities being potentially victimised, when their land-holdings or habitations are identified as being located within high risk zones		issue with the access to this pilot site in Tajikistan due to complicated permitting procedures and security issues, as well difficulties for the local implementing partners/NGOs, lack of interest in and support of the central government to project activities in this area has increased the risk, which makes the project team to reconsider the pilot site in Tajikistan. Besides, the same concern has been repeatedly mentioned by the key governmental implementing partners throughout the entire reporting period. In response to the high-risk situation, the project has reassessed the feasibility of the initial pilot site in Tajikistan. Alternative sites are being considered, and efforts are underway to identify a more capable local partner and simplify permitting procedures. Enhanced engagement with central government authorities aims to secure the necessary support for project activities. The project is planning to organize a number of meetings with local communities at project pilot sites in all participating countries to ensure their early engagement and awareness of the project for the benefits to their lives and livelihoods. The project will also produce promotional materials targeting the local communities and tailored to local contexts to sensitize those on the GLOF issue and raise awareness of the benefits the project can provide to them. Despite some particular turnover of central government staff in participating countries, the key implementing partners for local level activities and most of the pilot sites remained the same over the reporting period. Nevertheless, the project team has been maintaining regular communication with local experts from all concerned implementing institutions to avoid dependency on a single agency.
Institutional/Management/Governance: • Delays in recruitment of qualified project staff may affect the timeframe of project activities • Government and non-governmental agencies do not contribute adequately to the project at different levels • Changing staff is slowing down project implementation	Moderate	Over the reporting period, the recruitment of all permanent project staff has been almost fully completed, with the support of another UNESCO-executed project on cryosphere in Central Asia. This in general has facilitated the project implementation on the ground, although still most of the reporting period the project team was lacking key national staff. By the end of the reporting period, the project team has been packed up to 70%, pending the recruitment of a National Coordinator for Tajikistan and a Project Assistant. The project implementation is expected to speed up in the next 3-4 months with the full project team

		onboard. Frequent personnel turnover in the key government agencies, especially in those participating in the Project Steering Committee, results in lack of understanding of the project's approach, objectives and key components, which also slows down the project implementation and undermines efficient decision-making process. To mitigate the above, the project maintains good relations with the key national partners, emphasizing good perspective to all key stakeholders in order to keep them in the project. More frequent meetings at the highest political level are planned to be organized to sensitize the governmental authorities on the project subject and benefits, as well as strengthen sense of ownership by respective governments. Representatives of key governmental agencies are being engaged to contribute to the project activities.
Environmental: • Adverse climatic conditions may damage adaptation measures being implemented • Technical construction of the EWS requires access and some potential disturbance to the natural landscape, at least during the installation phase • Identified high risk flood zones may be considered of low importance for environmental protection, and therefore neglected	Low	Adaptation measures such as installation of EWS and other complementary measures were not part of the work plans over the reporting period, thus this risk did not affect the project implementation. However, the methodologies and approaches used in Central Asia were compiled and reviewed, and complemented with international experience, to propose the latest best practices and technical solutions used and proven in harsh environmental conditions.

Critical Risks Affecting Progress (Not identified at project design)

Are there any critical risks with a 50% or > likelihood of affecting progress of project? Yes

Identify Risks with a 50% or > likelihood of affecting progress of project

Identified Risk	Current Status	Steps taken to mitigate risk
COVID-19 pandemic	Low	The epidemiological situation in the Central Asia region has been stable over the reporting period, with no travel restrictions imposed. To mitigate the potential risk, the project team continues using online mode proactively for consultation meetings with national partners and webinars, when necessary and relevant.
Relatively low engagement of women in the project activities	Low	The proportion of women researchers employed by national partner institutions and available for the project's field activities is generally low, and the level of technical capacities requires improvement. The gender development index rank is especially low in Tajikistan and Kyrgyzstan. The project team added the requirement to include women in all project activities, where possible, to the Terms of Reference of the local implementing partners. The requirement of women participation was stated specifically for focus group meetings aimed at exposure and vulnerability assessments in Kyrgyzstan as well as for the field activities

		in Tajikistan. The project team is working on strategies to increase the percentage of female direct and indirect beneficiaries of the project and foster the participation of women in the project implementation. Specific recommendations were elaborated: a) hiring a dedicated gender specialist for the project; b) data on direct and indirect beneficiaries of the project must be gender-disaggregated, where possible; c) organization of small events to raise awareness of project-related issues for women's organizations.
Insufficient ownership and commitment by participating governments, potentially leading to a lack of interest in adopting, maintaining, developing, and installing Early Warning Systems (EWSs).	Moderate	To enhance ownership and commitment, the project has engaged high-level government officials through strategic advocacy and capacity-building initiatives. Workshops and training sessions have been conducted to emphasize the importance of EWSs and demonstrate their benefits, aiming to cultivate a sense of responsibility and interest in sustaining the systems.

Risk Measures

Were there any risk mitigation measures employed during the current reporting period? If so, were risks reduced? If not, why were these risks not reduced?

n/a

ESP Compliance

Section 1: Identified ESP Risk Management

Was the ESP risks identification complete at the time of funding approval? No

1.Compliance with the law	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	Yes
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Adaptation measures implemented under the project may require permits and as such present a risk of non-compliance with local legislation if not properly monitored.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	The USPs that are identified in project Outputs 2.1 and 2.2 will be screened at the community level and will bear in mind all necessary procedures such as EIAs, permits, and codes where applicable. Activities with a medium or high risk will not be considered for inclusion in the project. Screening and monitoring

	will continue as the EWS and complementary adaptation measures are implemented under Outputs 4.1 and 4.2.
List the monitoring indicator(s) for each impact identified.	At least 4 pilot communities will have undertaken complementary adaptation options (such as work on channels and/or slope stabilization) in conformity with applicable regulations.
State the baseline condition for each monitoring indicator	The project has compiled an overview of the national legislative and regulatory framework for potential measures. Baseline condition varies by country and by measure.
Describe each safeguard measure that has been implemented during the reporting period	Not applicable -- design and implementation of work related to infrastructure or earth works did not take place during the reporting period. The project has conducted community consultations to ensure free and informed consent to participation in the projects, and no objections to participation were raised by communities.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	n/a
Describe remedial action for residual impacts that will be taken	n/a
2.Access and equity	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	No
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	n/a
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	n/a
List the monitoring indicator(s) for each impact identified.	n/a
State the baseline condition for each monitoring indicator	n/a
Describe each safeguard measure that has been implemented during the reporting period	n/a
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	n/a
Describe remedial action for residual impacts that will be taken	n/a
3.Marginalized and vulnerable Groups	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified.	No

Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	n/a
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	n/a
List the monitoring indicator(s) for each impact identified.	n/a
State the baseline condition for each monitoring indicator	n/a
Describe each safeguard measure that has been implemented during the reporting period	n/a
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	n/a
Describe remedial action for residual impacts that will be taken	n/a
4.Human rights	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	No
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	n/a
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	n/a
List the monitoring indicator(s) for each impact identified.	n/a
State the baseline condition for each monitoring indicator	n/a
Describe each safeguard measure that has been implemented during the reporting period	n/a
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	n/a
Describe remedial action for residual impacts that will be taken	n/a
5.Gender equality and women's empowerment	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require	Yes

management actions to prevent unacceptable impacts? (as per II.K/II.L)	
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	Women’s status and representation may limit their meaningful participation in project activities.
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	Over the reporting period, the project team ensured that men and women participated fully and equitably in all project activities, giving special focus to women's representation in community-level activities. An initial Gender Assessment and Gender Action Plan were developed to ensure that women are meaningfully engaged in project activities and realize an equitable share of project benefits. Specific project indicators are meant to ensure that results-based management covers meaningful participation of both women and men. In addition, a gender expert was consulted to propose a set of activities to improve women's participation in the project implementation, including awareness raising workshops for women organizations, women-only focus group discussions. A dedicated gender specialist is planned to be hired to review the project's Gender Action Plan and ensure women's meaningful participation in the upcoming project activities, especially in those to be implemented at community level.
List the monitoring indicator(s) for each impact identified.	Individual indicators are provided in the project's Gender Action Plan
State the baseline condition for each monitoring indicator	Provided under the project's Gender Assessment
Describe each safeguard measure that has been implemented during the reporting period	A strategy with a roadmap for the improvement of women participation in the project activities is being developed by the project team. A dedicated gender specialist is planned to be hired.
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	n/a
Describe remedial action for residual impacts that will be taken	n/a
6.Core labour rights	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	No
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	n/a
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	n/a
List the monitoring indicator(s) for each impact	n/a

identified.	
State the baseline condition for each monitoring indicator	n/a
Describe each safeguard measure that has been implemented during the reporting period	n/a
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	n/a
Describe remedial action for residual impacts that will be taken	n/a
7.Indigenous people	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	No
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	n/a
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	n/a
List the monitoring indicator(s) for each impact identified.	n/a
State the baseline condition for each monitoring indicator	n/a
Describe each safeguard measure that has been implemented during the reporting period	n/a
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	n/a
Describe remedial action for residual impacts that will be taken	n/a
8.Involuntary resettlement	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	No
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	n/a
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	n/a
List the monitoring indicator(s) for each impact identified.	n/a

State the baseline condition for each monitoring indicator	n/a
Describe each safeguard measure that has been implemented during the reporting period	n/a
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	n/a
Describe remedial action for residual impacts that will be taken	n/a
9.Protection of natural habitats	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	No
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	n/a
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	n/a
List the monitoring indicator(s) for each impact identified.	n/a
State the baseline condition for each monitoring indicator	n/a
Describe each safeguard measure that has been implemented during the reporting period	n/a
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	n/a
Describe remedial action for residual impacts that will be taken	n/a
10.Conservation of biological diversity	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	No
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	n/a
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	n/a
List the monitoring indicator(s) for each impact identified.	n/a
State the baseline condition for each monitoring	n/a

indicator	
Describe each safeguard measure that has been implemented during the reporting period	n/a
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	n/a
Describe remedial action for residual impacts that will be taken	n/a
11.Climate change	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	No
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	n/a
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	n/a
List the monitoring indicator(s) for each impact identified.	n/a
State the baseline condition for each monitoring indicator	n/a
Describe each safeguard measure that has been implemented during the reporting period	n/a
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	n/a
Describe remedial action for residual impacts that will be taken	n/a
12.Pollution prevention and resource efficiency	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	No
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	n/a
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	n/a
List the monitoring indicator(s) for each impact identified.	n/a
State the baseline condition for each monitoring indicator	n/a

Describe each safeguard measure that has been implemented during the reporting period	n/a
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	n/a
Describe remedial action for residual impacts that will be taken	n/a
13.Public health	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	No
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	n/a
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	n/a
List the monitoring indicator(s) for each impact identified.	n/a
State the baseline condition for each monitoring indicator	n/a
Describe each safeguard measure that has been implemented during the reporting period	n/a
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	n/a
Describe remedial action for residual impacts that will be taken	n/a
14.Physical and cultural heritage	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	No
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	n/a
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	n/a
List the monitoring indicator(s) for each impact identified.	n/a
State the baseline condition for each monitoring indicator	n/a
Describe each safeguard measure that has been	n/a

implemented during the reporting period	
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	n/a
Describe remedial action for residual impacts that will be taken	n/a
15.Lands and soil conservation	
Are environmental or social risks present as per table II.K (II.L for REG) of the proposal?	Yes
During project/programme formulation, an impact assessment was carried out for the risks identified. Have impacts been identified that require management actions to prevent unacceptable impacts? (as per II.K/II.L)	No
List the identified impacts for which safeguard measures are required (as per II.K/II.L)	n/a
List here the safeguard measures (i.e. avoidance, management or mitigation) identified for each impact that are supposed to be (or had to be) implemented during the reporting period. Please break down the safeguard measures by activity.	n/a
List the monitoring indicator(s) for each impact identified.	n/a
State the baseline condition for each monitoring indicator	n/a
Describe each safeguard measure that has been implemented during the reporting period	n/a
Describe the residual impact for each impact identified - if any - using the monitoring indicator(s)	n/a
Describe remedial action for residual impacts that will be taken	n/a

Section 2: Monitoring for unanticipated impacts / corrective actions required	
Has monitoring for unanticipated ESP risks been carried out?	Yes
Have unanticipated ESP risks been identified during the reporting period?	No
If unanticipated ESP risks have been identified, describe the safeguard measures that have been taken in response and how an ESMP has been prepared/updated	n/a

Section 3: Categorisation	
Is the categorisation according to ESP standards still relevant?	Yes
If No, please describe the changes made at activity, output or outcome level, approved by the Board, that resulted in this change of categorization.	

Section 4: Implementation arrangements	
What arrangements have been put in place by the Implementing Entity during the reporting period to	The Implementing Entity has discussed the ESP safeguard measures with the Project Steering

implement the required ESP safeguard measures?	Committee for the planned EWS and complementary adaptation measures to be implemented over next reporting period. A dedicated safeguards specialist is planned to be hired to ensure the compliance of the proposed adaptation measures with ESP principles.
Have the implementation arrangements been effective during the reporting period?	Yes
What arrangements have been put in place by each Executing Entity during the reporting period to implement the required ESP safeguard measures?	The EE is overseeing the day-to-day implementation of the ESMP. It has posted information on the project grievance mechanism on its website, has disseminated a brochure on the grievance mechanism that has been shared with project partners, and has discussed project-related risks in the context of project team meetings. An overview of upcoming ESP activities was provided at the Project Steering Committee meeting, including the hiring of a gender/safeguards consultant prior to the start the EWS design and installation activities, and the activities that will be conducted in cooperation with local communities.
Have the implementation arrangements at the EEs been effective during the reporting period?	Yes

Section 5: Projects/programmes with unidentified sub-projects (USPs). This section needs to be completed only if the project/proramme includes USPs.	
Have the arrangements for the process described in the ESMP for ESP compliance for USPs been put in place?	No
Is the required capacity for ESMP implementation present and effective with the IE and the EE(s)? Please provide details.	Yes
Have all roles and responsibilities adequately been assigned and positions filled?	Yes
Has the overall ESMP been updated with the findings of the USPs that have been identified in this reporting period?	No

Identified USPs in the reporting period	**Application of ESMP to the USP**	**ESP risks identified for the USP**	**Has an impact assessment been carried out?**	**Consultation held for risks and impacts identification for USP**	**Gender disaggregati to identify risks and impacts**	**Safeguard measures identified for the USP**	**Monitoring indicator(s) for each impact**
n/a	No	n/a	No	No	No	n/a	n/a

Section 6: Grievances	
Was a grievance mechanism established capable and known to stakeholders to accept grievances and complaints related to environmental and social risks and impacts?	Yes
Were grievances received during the reporting period?	No

List all grievances received during the reporting period regarding environmental and social impacts; gender related matters; or any other matter of project/programme activities	For each grievance, provide information on the grievance redress process	Provide the status/outcome

Comments

GP Compliance

Section 1: Quality at entry

Was an initial gender assessment conducted during the preparation of the project/programme's first submission as a full proposal? Yes

Does the results framework include gender-responsive indicators broken down at the different levels (objective, outcome, output)? Yes

List the gender-responsive elements that were incorporated in the project/programme results framework

Gender-responsive element	Level	Indicator	Baseline	Target	Rated result for the reporting period
Gender-disaggregated beneficiaries	Objective	Number of beneficiaries (AF Core Indicator)	0	At least 1,400 direct beneficiaries (of that at least 700 women and 400 youth) and at least 102,990 indirect beneficiaries (of that 50,000 women and 45,000 youth)	Satisfactory
Support to women authorities in developing monitoring and mapping skills	Output	Number of authorities engaged in mapping and monitoring activities	20 (of that, 10 women)	By the end of the project, 40 authorities (and of that number, 20 women) consider themselves to be involved in GL mapping and monitoring	Satisfactory
Vulnerability assessment and exposure maps developed for endangered	Output	Number of communiti es with exposure maps	One community has undergone hazard mapping, but this does not include gender	By the end of the project, 8 communities (2 in each country) will have	Satisfactory

communities will including gender analyses			and sector-specific analysis	completed vulnerability assessments and exposure maps	
Support for women's participation in EWS training and utilization	Output	Number of staff trained to respond to, and mitigate impacts of, climate-related events (by gender)	Approximately 24 staff in participating countries address DRR issues generally (including 12 women), but they lack specific expertise on GLOF risk reduction and management	24 staff have received specialized training or participated actively in the EWS framework (including 12 women)	Satisfactory
Support for women's awareness of adverse impacts of climate change and appropriate responses.	Output	Percentage of target population aware of predicted adverse impacts of climate change, and of appropriate responses, and of that, percentage of women and vulnerable groups.	Community consultations indicated that while nearly all vulnerable community residents were concerned about climate change, far fewer could identify adverse impacts, and even fewer appropriate responses.	At least 80% of people in the target communities are aware of measures to adapt to climate change (and, of that, at least 50% women and youth / vulnerable groups)	Satisfactory
Ensuring women's participation in education and training programmes undertaken to equip stakeholders with knowledge and capacity to prepare for, respond to and recover from GLOF disasters.	Output	Number of staff trained to respond to, and mitigate impacts of, climate-related events, by gender	GLOF response training is not specificall y provided to government staff	By the end of the project: 24 staff, and of that number 12 women, trained to respond to, and mitigate impacts of GLOFs	Satisfactory

Section 2: Quality during implementation and at exit

List gender equality and women's empowerment issues encountered during implementation of the project/programme. For each gender equality and women's empowerment issue describe the progress that was made as well as the results.

Gender equality and women's empowerment issues	Rated result for the reporting period	Provide justification of the rating provided
Relatively low women's representation in government partner institutions.	Satisfactory	Satisfactory for this reporting period (project is on track to achieve the end-of-project targets for women's participation), but a gender specialist will be hired to develop a strategy to identify women specialists and ensure that they are able to utilize capacity development activities in the project.

Section 3: Implementation arrangements	
What arrangements have been put in place by the Implementing Entity during the reporting period to comply with the GP	The IE organized a training session on gender policy for the project team.
Have the implementation arrangements at the IE been effective during the reporting period?	Yes
What arrangements have been put in place by each Executing Entity during the reporting period to comply with the GP?	The EE has been monitoring gender participation in project meetings and trainings during the reporting period. Additionally, a dedicated staff meeting on gender policy compliance was organized for the project team members to brainstorm on the set of activities for the improvement of women's participation in the project implementation. A set of recommendations was proposed by the project's Senior Technical Advisor. In addition, a dedicated gender specialist is planned to be hired.
Have the implementation arrangements at the EE(s) been effective during the reporting period?	Yes
Have any capacity gaps affecting GP compliance been identified during the reporting period and if so, what remediation was implemented?	Yes

Section 4: Grievances	
Was a grievance mechanism established capable and known to stakeholders to accept grievances and complaints related to gender equality and women's empowerment?	Yes
Were grievances received during the reporting period?	No

List all grievances received through the grievance mechanism during the reporting period regarding gender-related matters of project/programme activities [6]	For each grievance, provide information on the grievance redress process used	Provide the status/outcome

Comments

Rating

Implementing Entity

Project components/outcomes	Alignment with AF outcomes	Expected Progress	Progress to date	Rating
Outcome 1. Authorities in participating countries have improved knowledge of potential GLOF hazards and a coordinated national and regional approach to mapping and monitoring potential GLOF sites.	Outcome 2	At least 30 authorities (and of that number, 15 women) consider themselves to be involved in glacier lake mapping and monitoring. Entire glaciated area of all participating countries is mapped using recent data. At least 8 institutions have increased capacity to minimize exposure to climate variability risks. At least 3 regional exchange workshops and 4 workshops with local authorities are conducted to strengthen monitoring capacity.	Ontrack	Satisfactory
Outcome 2. Decision-makers and vulnerable households are aware of GLOF threats and have the necessary information to plan measures to adapt to those threats.	Outcome 7	At least 4 communities (maximum 2 per country) have completed vulnerability assessments and exposure maps.	Ontrack	Satisfactory
Outcome 3. A coordinated EWS network is designed and embedded in the institutional setting for disaster risk management at all levels.	Outcome 1	EWS concept notes and designs are finalized. At least 12 staff (including 6 women) have received specialized training or participated actively in the EWS framework. Site-specific studies have been completed for each pilot community.	Delayed	Satisfactory
Outcome 4. Pilot communities reduce risk from GLOF hazards and relevant agencies have a means of maintaining adaptation measures and upscaling to other vulnerable communities.	Outcome 1, Outcome 3	List of complementary adaptation measures in conformity with applicable regulations is compiled and discussed with the national implementing partners. Proposals for low-cost / no-cost adaptation options developed. Community level activities are launched to raise the target communities' awareness of measures to adapt to climate change (with participation of women and youth/vulnerable groups).	Ontrack	Satisfactory
Outcome 5. Researchers, government authorities, and communities can access and exchange information they need on GLOF hazards and risk reduction measures to adapt to them.	Outcome 2	A dedicated web platform on GLOFs is designed and launched. The web platform has at least 100 unique visitors annually from within the participating countries. At least 12 staff, and of that number 6 women, trained to respond to, and mitigate impacts of GLOFs. At least 3 knowledge products have been produced and distributed to disseminate good practice and lessons	Ontrack	Satisfactory

		learned from the project.		

Please provide the Name and Contact information of the person(s) responsible for completing the Rating section

Name	Email
Mr Jayakumar Ramasamy	r.jayakumar@unesco.org

Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps.

Over the reporting period, the project team has managed to achieve substantial results against some of the project targets, meeting and exceeding some of those. However, the achievement for some targets (like design of EWS) has been delayed, partially due to lack of project staff and largely due to lack of support/understanding from the governmental counterparts. Nevertheless, the project is on track to achieve most of its targets under the project results framework. During the reporting period, the project implementation procedures have been fairly time-intensive, especially in case of establishing high-value contracts. However, the missing team members are expected to be recruited shortly to boost the project implementation and enhance communication with local partners, and further project implementation is expected to be smooth and efficient. It is advised to consider hiring safeguards and gender specialist/-s to strengthen the project team and ensure better involvement of local communities and women in the project activities. In view of the emerging risks, like access to pilot sites for some target areas and lack of ownership from the national governmental entities, more frequent coordination meetings at higher decision-making level might be helpful to facilitate the critical project activities.

Executing Entity / Project Coordinator

Project components/outcomes	Alignment with AF outcomes	Expected Progress	Progress to date	Rating
Outcome 1. Authorities in participating countries have improved knowledge of potential GLOF hazards and a coordinated national and regional approach to mapping and monitoring potential GLOF sites.	Outcome 2	At least 30 authorities (and of that number, 15 women) consider themselves to be involved in glacier lake mapping and monitoring. Entire glaciated area of all participating countries is mapped using recent data. At least 8 institutions have increased capacity to minimize exposure to climate variability risks. At least 3 regional exchange workshops and 4 workshops with local authorities are conducted to strengthen monitoring capacity.	Ontrack	Satisfactory
Outcome 2. Decision-makers and vulnerable households are aware of GLOF threats and have the necessary information to plan measures to adapt to those threats.	Outcome 7	At least 4 communities (maximum 2 per country) have completed vulnerability assessments and exposure maps.	Ontrack	Satisfactory
Outcome 3. A coordinated EWS network is designed and embedded in the institutional setting for disaster risk management at all levels.	Outcome 1	EWS concept notes and designs are finalized. At least 12 staff (including 6 women) have received specialized training or participated actively in the EWS framework. Site-specific studies	Delayed	Satisfactory

		have been completed for each pilot community.		
Outcome 4. Pilot communities reduce risk from GLOF hazards and relevant agencies have a means of maintaining adaptation measures and upscaling to other vulnerable communities.	Outcome 1, Outcome 3	List of complementary adaptation measures in conformity with applicable regulations is compiled and discussed with the national implementing partners. Proposals for low-cost / no-cost adaptation options developed. Community level activities are launched to raise the target communities' awareness of measures to adapt to climate change (with participation of women and youth/vulnerable groups).	Ontrack	Satisfactory
Outcome 5. Researchers, government authorities, and communities can access and exchange information they need on GLOF hazards and risk reduction measures to adapt to them.	Outcome 2	A dedicated web platform on GLOFs is designed and launched. The web platform has at least 100 unique visitors annually from within the participating countries. At least 12 staff, and of that number 6 women, trained to respond to, and mitigate impacts of GLOFs. At least 3 knowledge products have been produced and distributed to disseminate good practice and lessons learned from the project.	Ontrack	Satisfactory

Please provide the Name and Contact information of the person(s) responsible for completing the Rating section

Name	Email	Institution
Mr Amir Piric	a.piric@unesco.org	UNESCO Almaty Regional Office

Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps.

The project has managed to meet and exceed some of its performance targets, especially those related to risk knowledge and capacity building. However, the progress in relation to EWS design has been hampered due to lack of support/interest/conceptual understanding from national stakeholders, including governmental counterparts. Nevertheless, the project is still on track to achieve most of the targets in the project results framework. Cooperation with the University of Zurich, an Implementing Partner, was instrumental, although interactions with some of the local partners were not always smooth. The project implementation procedures during the reporting period have been time-intensive due to lack of project staff and lack of interest from government authorities, which required additional negotiation efforts from the project management unit to clarify the project's strategy and objectives to numerous implementing partners at country level. While the project is compliant with the Adaptation Fund's Environmental & Social Policy, and the Gender Policy for the reporting period, the project team will hire a gender/safeguards specialist to support the community-level activities in future reporting periods and ensure overall support for women's meaningful participation in project activities.

Other

Project components/outcomes	Alignment with AF outcomes	Expected Progress	Progress to date	Rating

Please provide the Name and Contact information of the person(s) responsible for completing the Rating section

Name	Email

Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps.

Overall Rating

Overall rating

Satisfactory

Please justify your rating. Outline the positive and negative progress made by the project since it started. Provide specific recommendations for next steps.

The project implementation experienced some delays over the reporting period due to the staffing issue and lack of interest, ownership and support from governmental stakeholders. Another challenge was access to the pilot site in Tajikistan, which complicated the implementation of the field activities at the project target area. Besides, the complexity of the recruitment process and contract establishment procedures (for high value contracts), coupled with the turnover of a number of project staff members, resulted in additional delays in the project implementation. To address these challenges, the following measures were undertaken: - temporary support staff have been mobilized to facilitate the project implementation, pending for the recruitment of permanent staff; - national consultants were mobilized to facilitate the project implementation at the country level; - several rounds of working meetings were organized with the governmental counterparts of the project to provide technical advice and clarify the project implementation modalities; - recruitment process for the missing project support staff has been launched. Despite the challenges, a number of key milestones have been achieved over the reporting period, including: - completion of targets on glacier lake mapping and monitoring: the area of all four participating countries, exceeding the target of 347,000 km2 and including 150,000 km2 of the glaciated watershed area is mapped using recent data; - vulnerability assessments and exposure maps were completed for 4 communities; - sites specific studies are completed for all pilot communities, incl. scoping visits to explore risk perceptions and needs of local stakeholders through focus group meetings, first-order assessment based on available remotely sensed imagery and existing studies, field visits to inspect installation sites of existing monitoring equipment, bathymetry measurements undertaken for selected key glacier lakes in pilot areas. It is recommended to: 1) finalize the recruitment of missing team members at earliest convenience; 2) strengthen the project team with additional consultants (for procurement/contractual issues, gender/safeguards aspects, as required); 3) undertake more frequent meetings, including at higher level, with the governmental counterparts to secure their support to the key project activities. Considering the above progress, challenges and solutions implemented to address bottlenecks and delays, the project performance is rated as Satisfactory.

Project Indicators

List of indicators

Type of Indicator (indicators towards Objectives, Outcomes, etc…)	Indicator	Baseline	Progress Since Inception	Target for Project End
Objectives	Number of	0	90 indirect	By the end of the

	beneficiaries (AF Core Indicator).		beneficiaries (of that 19 women and 8 youth)	project: At least 1,400 direct beneficiaries (of that at least 700 women and 400 youth) and at least 102,990 indirect beneficiaries (of that 50,000 women and 45,000 youth).
Objectives	Early Warning Systems (AF Core Indicator). Category: Floods.	1) Risk knowledge: 1. 2) Monitoring and warning service: 0-1. 3) Dissemination and communication: 0-1. 4) Response capability: 0.	Preliminary concept notes of the EWS were developed; detailed technical design of EWS is being elaborated. The EWS installation was not part of the work plan of the Years 1-3.	By the end of the project: 1) Risk knowledge: 3. 2) Monitoring and warning service: 3. 3) Dissemination and communication: 3. 4) Response capability: 3
Outputs	Number of authorities engaged in mapping and monitoring activities.	20 authorities (and of that number, 10 women) consider themselves to be involved in GL mapping and monitoring. No country level strategies for GL mapping and monitoring.	31 authorities (27 onsite + 4 online follow-up) received training with a new automated tool that is being used for GL mapping and monitoring at national and regional scales. Total 64 authorities (and of that number 16 women) consider themselves involved in GL mapping and monitoring. Distribution by countries: 5 authorities in Kazakhstan (of that number 3 women), 25 authorities in Kyrgyzstan (of that number 3 women), 12 authorities in Tajikistan (of that number 2 women), and 22 authorities in Uzbekistan (of that number 8 women). Each country has a country-specific programme/strategy (in some countries, it is a set of regulation	40 authorities (and of that number, 20 women) consider themselves to be involved in GL mapping and monitoring. By the end of the project, each participating country has a GL mapping and monitoring strategy.

			documents) covering glaciers/GL monitoring, based on which the countries on the annual basis conduct GL mapping and monitoring through regular field expeditions, use of remote sensing data, updating of GL inventories, including GL classification.	
Outputs	Percentage of watershed mapped for all participating countries.	A very limited percentage of the watershed is mapped using older data; in situ measurements have been taken only in a few cases.	The area of all four participating countries, exceeding the target of 347,000 km2 and including 150,000 km2 of the glaciated watershed area is mapped using recent data. This includes the combined glaciated area in each country (including a buffer zone of 7 km). In situ bathymetry surveys have been conducted in 2022 and 2023 for the selected critical lakes in Kyrgyzstan, Tajikistan and Uzbekistan.	By the end of the project, 347,000 km2 is mapped using recent (2015-2016) data.
Outputs	Number of targeted institutions with increased capacity to minimize exposure to climate variability risks (AF Output Indicator 2.1.2). Number of capacity strengthening workshops.	n/a	Three regional exchange workshops were organized. The focus in Year 1 was on glacier lake mapping and monitoring, in Year 2 - on downstream GLOF hazard mapping, and in Year 3 - on Early Warning Systems. 2 web-based workshops and 1 in-person workshop was conducted for national institutions to train those in the use of RAMMS	By the end of the project, 16 institutions have increased capacity to minimize exposure to climate variability risks. By the end of the project, at least 4 regional workshops and 8 workshops with local authorities have been conducted to strengthen monitoring capacity.

			software for GLOF modelling and hazard mapping. 2 webinars on the topic of Early Warning Systems (EWSs) for GLOFs were conducted, resulting in 103 participants (38 women and 65 men) with increased knowledge of EWSs. 1 face-to-face training (Almaty, November 2022), followed by a series of 6 webinars in April-May 2023, equipped 26 people (incl. 7 women) with skills on glacier lake mapping and monitoring. In total, 3 regional exchange workshops, 4 training workshops and 8 webinars have involved 23 institutions from participating countries: - Kazakhstan (7): 1. Ministry of Emergency Situations; 2. State Mudflow Protection Agency "Kazselezaschita"; 3. Institute of Geography and Water Security; 4. Central-Asian Regional Glaciological Center; 5. Center for Emergency Situations and Disaster Risk Reduction; 6. Al-Farabi Kazakh National University; 7. National Hydrometeorological Service	

			(Kazhydromet) - Kyrgyzstan (4): 1. Ministry of Emergency Situations; 2. Ministry of Natural Resources, Ecology and Technical Supervision; 3. Central-Asian Institute of Applied Geosciences; 4. Institute of Water Problems and Hydropower Engineering; - Tajikistan (5): 1. Agency for Hydrometeorology, Committee for Environmental Protection; 2. Committee for Emergency Situations and Civil Defense; 3. Institute of Water Problems, Hydropower and Ecology, Academy of Sciences; 4. Aga Khan Agency for Habitat; 5. Center of Glaciers Research, Academy of Sciences; - Uzbekistan (7): 1. Center of Hydrometeorological Service (Uzhydromet); 2. Ministry of Emergency Situations; 3. Scientific Research Hydrometeorological Institute; 4. State Monitoring Service for Geohazards; 5. Center of Glacial Geology, Institute of Geology and Geophysics; 6. National University of Uzbekistan; 7. Institute of	

			Astronomy named after Mirzo Ulugbek, Academy of Sciences.	
Outputs	Number of communities with exposure maps.	One community has undergone hazard mapping, but this does not include gender and sector specific analysis.	Hazard modelling with RAMMS software was done for the selected pilot communities in all 4 countries which provided basis for vulnerability and exposure mapping. Vulnerability assessments and exposure maps were completed for 4 communities: 2 in Uzbekistan (Pskem and Tepar), 2 in Kyrgyzstan (Baityk and Kashkasuu).	By the end of the project, 8 communities (2 in each country) will have completed vulnerability assessments and exposure maps.
Outputs	Number and type of risk reduction actions or strategies introduced at local level (AF Output Indicator 3.1.1).	No local risk reduction plans exist in the pilot communities.	Not part of the work plan of the Years 1-3.	At least 8 communities will participate in the development of a risk reduction strategy. At least 4 of the strategies will include EWS and complementary adaptation measures.
Outputs	Number of targeted development strategies with incorporated climate change priorities enforced (AF Output Indicator 7.2).	DRR concepts are not mainstreamed into subnational development plans.	Not part of the work plan of the Years 1-3.	By the end of the project, at least 8 local or district development plans include GLOF planning and response.
Outputs	Number of staff trained to respond to, and mitigate impacts of climate related events (by gender) (AF Output Indicator 2.1.1). DRM framework for GLOFs is integrated into country level multihazard DRM frameworks.	Approximately 24 staff in participating countries address DRR issues generally (including 12 women), but they lack specific expertise on GLOF risk reduction and management.	In April 2023, two webinars on the topic of Early Warning Systems (EWSs) for GLOFs was conducted to provide the participating countries with an opportunity to share their experience and learn about international best practices. Total 103 participants (38	24 staff have received specialized training or participated actively in the EWS framework (including 12 women).

			women and 65 men) increased their knowledge of early warning systems. Further specialized training on EWS is planned to take place with key stakeholders once the EWS are installed in each pilot region. Staff (local, district and national authorities) will be trained in line with the EWS response protocols being developed for each location, and this training will include mock drills. In addition, the project contributed towards 2 joint events with the Asian Development Bank in Tajikistan focusing on Disaster Risk Management. The first event (November 2022) had 30 participants, including 23 men and 7 women, with 10 participants from Ministries and governmental agencies, 9 participants from INGOs, 3 from international organizations, and 9 participants from other background. The second event (January 2023) had 22 participants from government ministries (gender not recorded).	
Outputs	Site specific studies for pilot communities.	Vulnerable communities exposed to GLOFs lack EWS.	Sites specific studies are completed for all pilot communities. These include the following: - scoping	By the midpoint of the project: Sites specific studies have been completed for each pilot

			visits to pilot communities to explore risk perceptions and needs of local stakeholders through focus group meetings; - first-order assessment of all pilot sites based on available remotely sensed imagery and existing studies to preliminary identify main threats to the pilot communities; - field visits to inspect installation sites of existing monitoring equipment; - bathymetry measurements undertaken for selected key glacier lakes in pilot areas; - sophisticated GLOF outburst and debris flow modelling studies (based on RAMMS training) completed for all pilot communities, jointly conducted with local authorities.	community.
Outputs	Presence of EWS system.	None of the vulnerable communities surveyed has an EWS that monitors and responds directly to GLOF threats.	Not part of the work plan of the Years 1-3.	By the end of the project: At least 4 communities have an EWS in operation.
Outputs	Presence of complementary adaptation measures.	None of the vulnerable communities surveyed during the community consultations had undertaken any adaptation measures.	Not part of the work plan of the Years 1-3.	At least 4 pilot communities will have undertaken complementary adaptation options (such as work on channels and/or slope stabilization) in conformity with applicable regulations. At least

				7 pilot communities will have undertaken low-cost / no cost adaptation options (such as hazard zone demarcation, evacuation route planning, etc.).
Outputs	Percentage of targeted population aware of predicted adverse impacts of climate change, and of appropriate responses (AF Output Indicator 3.1.1). Of that number, percentage of women, vulnerable groups. Number of training drills.	Community consultations indicated that while nearly all vulnerable community residents were concerned about climate change, far fewer could identify adverse impacts, and even fewer appropriate responses.	Not part of the work plan of the Years 1-3.	By the end of the project, at least 80% of people in the target communities are aware of measures to adapt to climate change (and, of that, at least 50% women and youth/vulnerable groups). By the end of the project, all pilot communities have participated in at least 2 EWS drills.
Outputs	Number of financing sources identified. Presence of a maintenance and financing strategy.	Governments have expressed interest, but funding has not been identified. No maintenance and financing strategy exists.	Not part of the work plan of the Years 1-3.	By the end of the project: At least one source of financing has been identified for each participating country. By the end of the project: Each participating country has a maintenance and financing strategy for the EWS systems.
Outputs	Usage of web platform. Number of stakeholders who are aware of the platform and who access it more than once.	Several climate change web platforms exist with information on Central Asia, but they do not contain information on GLOFs.	A dedicated web platform on glacier lake outburst floods in Central Asia (glofca.org) was created and launched. The web platform provides reliable and credible information and knowledge about glacier lake outburst floods, disaster risk reduction, and early warning systems in Central Asia to all stakeholders in the interested public. The primary	The web platform has at least 100 unique visitors annually from within the participating countries.

			architecture of the web platform was created; the project team continues working on structuring the thematic subsections of the website to fill it in with quality content. Overall number of unique visitors of the web platform from within the participating countries over the reporting period reached 297 people, including 97 from Kazakhstan, 51 from Kyrgyzstan, 44 from Tajikistan and 105 from Uzbekistan.	
Outputs	Number of staff trained to respond to, and mitigate impacts of, climate related events, by gender (AF Output Indicator 2.1.1).	GLOF response training is not specifically provided to government staff.	A training course on numerical modelling of GLOFs was conducted in May-July 2022, consisting of three webinars and an offline training in Almaty, combining theoretical sessions with a field visit. As a result, 21 staff (and of that number 10 women) were trained. The participants learned how to model potential outburst for country-specific case studies. In addition, 15 governmental institutions in four participating countries are now equipped with licenses for RAMMS software and ongoing support for their work is provided by the project team.	By the end of the project: 24 staff, and of that number 12 women, trained to respond to, and mitigate impacts of GLOFs.
Outputs	Extent to which project lessons are	Local communities lack accessible,	In total, there were 12 knowledge	By the end of the project: Lessons

	scaled up to other communities in Central Asia. Number of knowledge products for institutions supporting mountain communities and for people at risk.	targeted materials on GLOF response.	products developed: 1) Brochure "Reducing the vulnerability of the Central Asia populations from glacial lake outburst floods in a changing climate", 11 pages (EN, RU); 2) Infographics "Reducing glacial lake hazards in Central Asia", 4 pages (EN, RU); 3) Animation video "Melting glaciers of Central Asia and climate change responses" (EN, RU); 4) Video "Findings of the 2022 Intergovernmental Panel of Climate Change (IPCC) with focus on Central Asia" (EN); 5) Video "GLOFCA pilot site in Ala-Archa, Kyrgyzstan" (EN, RU); 6) Overview of the pilot site area in Uzbekistan, video; 7) Video "GLOFCA Teams on Expedition to Project Pilot Sites in Uzbekistan" (EN, RU); 8) Video "GLOFCA project in action, 2021", overview of the Year 1 activities (EN); 9) Synthesis reports on GLOF hazard and risk: State of Knowledge (country reports for Kazakhstan, Kyrgyzstan, Tajikistan and Uzbekistan) (EN); 10) Stakeholder data	learned from the project will be incorporated in at least 16 communities at risk of GLOFs. By the end of the project: At least 6 knowledge products have been produced and distributed to disseminate good practice and lessons learned from the project.

			base; 11) E-library on GLOFs; 12) Video E-library on GLOFs.	

Comments

Lessons Learned

Implementation and Adaptive Management		
Describe any changes undertaken to improve results on the ground or any changes made to project outputs (i.e. changes to project design)	Challenges & Opportunities	No changes were made to the project outputs or design over the reporting period. In Uzbekistan, hazard modelling results suggested that GLOF might not be the most significant risk to the pilot community, and therefore, with the approval from and in close coordination with the national authorities, the concept of the EWS to be installed under the project was broaden to provide protection also against other climate related hazards (avalanches and landslides).
Have the environmental and social safeguard measures that were taken been effective in avoiding unwanted negative impacts?	Challenges	Since the community-level activities were not part of the work plan over the reporting period, the effectiveness of environmental and social safeguard measures could not be properly estimated. The project team will hire a safeguards specialist to ensure adequate planning and compliance of all community level and field activities with the AF ESP principles.
How have gender considerations been taken into consideration during the reporting period? What have been the lessons learned as a consequence of inclusion of such considerations on project performance or impacts? List lessons learned specific to gender, detailing measures and project/programme-specific indicators highlighting the role of women as key actors in climate change adaptation.	Challenges	Gender considerations are kept in mind while planning the project activities. All lists of participants are formulated taking into account gender considerations, whenever possible. When an activity/event envisages nominees, the respective institutions are encouraged to nominate women participants. When formulating ToR with

		project partners concerning field activities, it is specifically noted that 50% representation of women is expected. Hiring a gender expert is planned to improve the project implementation from gender considerations perspective.
Were there any delays in implementation? If so, include any causes of delays. What measures have been taken to reduce delays?	Challenges	Particular delays in recruitment of full-time project staff affected the timeframe of the project activities of the Year 3. Steps are well underway to fill these positions. Complicated procedures of establishing contracts (bidding, Contracts Committee review for high-value contracts), involving several approving and certifying officers, has also affected the project's efficiency, raising concerns from the national partners' side. More advance planning, taking into accounts the schedules of all people involved, would help to reduce delays with administrative arrangements. The political situation in the pilot site in Tajikistan and reliance on a local implementing partner (NGO) caused difficulties for the Swiss implementing partner to obtain permits for fieldwork in the project target area in Tajikistan, which even raised concerns of the National Security Committee. The governmental counterparts were involved to solve the issue and have been closely engaged in all project activities ever since to ensure overall governmental support and secure the project activities.
What implementation issues/lessons, either positive or negative, affected progress?	Challenges	It is crucial to enhance project ownership among the national stakeholders through joint planning, regular communication and exchange, both at the governmental and community level. Communication between the project implementing partners in Switzerland and the local

		institutions has been challenging at times, due to the Swiss scientists primarily working remotely. The absence of full-time Country Coordinators has also contributed to particular delays. Increased efforts are now being made by the project team to improve in-county presence, and direct bilateral exchanges and working meetings have been enhanced, including through the recruitment of locally based representatives. Despite the convenience and cost effectiveness of online meetings, face-to-face meetings continue to be more efficient in addressing partners' concerns and building trust. The project team will enhance its on-the-ground presence for the smooth implementation of the project activities. The project should engage local communities at the earliest stage and sensitize them on the GLOFs subject, raising their awareness of the project and the benefits it can provide to them. Dissemination of promotional and information materials among wide range of stakeholders and local communities can facilitate the process.

Has the project already reached mid term or project completion?(yes/no).

Yes

Climate Resilience Measures	
What have been the lessons learned, both positive and negative, in implementing climate adaptation measures that would be relevant to the design and implementation of future projects/programmes for enhanced resilience to climate change?	Positive lessons include effective stakeholder engagement during project formulation and regional cooperation which increased community awareness and resilience. Negative lessons highlight the need for sustained community participation and improved project management structures to handle complexities of multi-country initiatives.
What is the potential for the climate resilience measures undertaken by the project/programme to be replicated and scaled up both within and outside the project area?	The project demonstrates high potential for replication and scaling up through its regional approach, successful stakeholder engagement, and adaptability to include broader water-related disasters.

Readiness Interventions (Applicable only to NIEs that received one or more readiness grants)	
What have been the lessons learned, both positive and negative, in accessing and implementing climate finance readiness support that would be relevant to the preparation, design and implementation of future concrete adaptation projects/programmes?	n/a
How have the outputs (such as manuals, guidelines, procedures or the experience from providing peer support, etc) from employing readiness grants been used to inform institutional capacity needs, gender issues, and environmental and social aspects in developing and implementing concrete projects/programmes for enhanced resilience to climate change?	n/a
Concrete Adaptation Interventions	
What have been the lessons learned, both positive and negative, in implementing concrete adaptation interventions that would be relevant to the design and implementation of future projects/programmes implementing concrete adaptation interventions?	Positive lessons involve the implementation of community-inclusive Early Warning Systems (EWS) and capacity-building initiatives. Challenges include the need for continuous stakeholder engagement and addressing administrative burdens.
What is the potential for the concrete adaptation interventions undertaken by the project/programme to be replicated and scaled up both within and outside the project area?	The potential for scaling up is significant, particularly through the adaptation of EWS and community engagement practices that have shown effectiveness in pilot sites.
Knowledge Management	
How has existing information/data/knowledge been used to inform project development and implementation? What kinds of information/data/knowledge were used?	Existing data on glacial lakes and climate risks have been critical in informing project development and implementation, with significant use of risk and vulnerability assessments.
Has the existing information/data/knowledge been made available to relevant stakeholder? If so, what chanels of dissemination have been used?	Information has been disseminated through workshops, training sessions, and a dedicated web-based platform to ensure accessibility to stakeholders.
Please list any knowledge products generated and include hyperlinks whenever posssible (e.g. project videos, project stories, studies and technical reports, case studies, tranining manuals, handbooks, strategies and plans developed, etc.)	Key knowledge products include the GLOFCA web-based knowledge-sharing platform, training manuals, and hazard mapping tools.
If learning objectives have been established, have they been met? Please describe.	
Describe any difficulties there have been in accessing or retrieving existing information (data or knowledge) that is relevant to the project. Please provide suggestions for improving access to the relevant data.	
Has the identification of learning objectives contributed to the outcomes of the project? In what ways have they contributed?	
Innovation	
Describe any innovative practices or technologies that figured prominently in this project.	

Complementarity/ Coherence with other climate finance sources	
Has the project been scaled-up from any other climate finance? Or has the project build upon any other climate finance initiative?	
If you answered yes, kindly specify the name of the Fund/Organization.	

Results Tracker

Goal: Assist developing-country Parties to the Kyoto Protocol and the Paris Agreement that are particularly vulnerable to the adverse effects of climate change in meeting the costs of concrete adaptation projects and programmes in order to implement climate-resilient measures.

Impact: Increased resiliency at the community, national, and regional levels to climate variability and change.

Is this the mid-term or terminal project performance report? Midterm

Impact: Increased resiliency at the community, national, and regional levels to climate variability and change

Core Indicator: No. of beneficiaries

		Total	% of female beneficiaries	% of Youth beneficiaries
Baseline information	Direct beneficiaries supported by the project			
Baseline information	Indirect beneficiaries supported by the project			
Baseline information	Total (direct + indirect beneficiaries)	0	0	0
Target performance at completion	Direct beneficiaries supported by the project			
Target performance at completion	Indirect beneficiaries supported by the project			
Target performance at completion	Total (direct + indirect beneficiaries)	0	0	0
Performance at mid-term	Direct beneficiaries supported by the project	0	0	0
Performance at mid-term	Indirect beneficiaries supported by the project	90	21.11	8.89
Performance at mid-term	Total (direct + indirect	90	10.555	4.445

	beneficiaries)			
Performance at completion	Direct beneficiaries supported by the project			
Performance at completion	Indirect beneficiaries supported by the project			
Performance at completion	Total (direct + indirect beneficiaries)	0	0	0

Outcome 1: Reduced exposure to climate-related hazards and threats

Indicator 1: Relevant threat and hazard information generated and disseminated to stakeholders on a timely basis

	Number of targeted stakeholders - Total	Number of targeted stakeholders - % of female targeted	Hazards information generated and disseminated	Overall effectiveness

Output 1.1 Risk and vulnerability assessments conducted and updated

Indicator 1.1: No. of projects/programmes that conduct and update risk and vulnerability assessments

	No. of projects/programme that conduct and update risk and vulnerability assessments	Sector	Scale	Status

Output 1.2 Targeted population groups covered by adequate risk reduction systems

Core Indicator 1.2: No. of Early Warning Systems

	No. of adopted Early Warning Systems	Category targeted	Hazard	Geographical coverage	Number of municipalities
Baseline information					
Target performance at completion					
Performance at mid-term	1	1: Risk knowledge	Glacier lake outburst flood	Local	0
Performance at mid-term	0	2: Monitoring and warning service	Glacier lake outburst flood	Local	0
Performance at mid-term	0	3: Dissemination and communication	Glacier lake outburst flood	Local	0
Performance at mid-term	0	4: Response capability	Glacier lake outburst flood	Local	0

Performance at completion					

Outcome 2: Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses

Indicator 2: Capacity of staff to respond to, and mitigate impacts of, climate-related events from targeted institutions increased

	Number of staff targeted - Total	Number of staff targeted - % of female targeted	Sector	Capacity level

Output 2.1 Strengthened capacity of national and sub-national centres and networks to respond rapidly to extreme weather events

Indicator 2.1.1: No. of staff trained to respond to, and mitigate impacts of, climate-related events

	Total staff trained	% of female staff trained	Type
Baseline information			
Target performance at completion			
Performance at mid-term	150	36.67	Public
Performance at completion			

Indicator 2.1.2: No. of targeted institutions with increased capacity to minimize exposure to climate variability risks

	Type	Scale	Sector	Capacity Level
Baseline information				
Target performance at completion				
Performance at mid-term	Public	National	Multi-sector	3: Medium capacity
Performance at completion				

Output 2.2. Increased readiness and capacity of national and sub-national entities to directly access and program adaptation finance

Indicator 2.2.1: No. of targeted institutions benefitting from the direct access and enhanced direct access modality

	Number of beneficiaries	Scale	Sector	Capacity Level

Outcome 3: Strengthened awareness and owernship of adaptation and climate risk reduction processes

Indicator 3.1: Increase in application of appropriate adaptation responses

	Percentage of targeted population applying adaptation measures	Sector

Output 3.1: Targeted population groups participating in adaptation and risk reduction awareness activities

Indicator 3.1.1: Percentage of targeted population awareness of predicted adverse impacts of climate change, and of appropriate responses

	No. of targeted beneficiaries	% of female participants targeted	Level of awareness
Baseline information			
Target performance at completion			
Performance at mid-term	90	21.11	3: Partially aware
Performance at completion			

Output 3.2: Stengthened capacity of national and subnational stakeholders and entities to capture and disseminate knowledge and learning

Indicator 3.2.1: No. of technical committees/associations formed to ensure transfer of knowledge

	No. of technical committees/associations	% of women represented in committes/associations	Level of awareness

Indicator 3.2.2: No. of tools and guidelines developed (thematic, sectoral, institutional) and shared with relevant stakeholders

	No. of tools and guidelines	Type	Scale

Outcome 4: Increased adaptive capacity within relevant development sector services and infrastructure assets

Indicator 4.1: Increased responsiveness of development sector services to evolving needs from changing and variable climate

	Project/programme sector	Geographical scale	Response level

Core Indicator 4.2: Assets produced, developed, improved or strengthened

	Sector	Targeted asset	Changes in asset (quantitative or qualitative)

Indicator 4.1.1: Vulnerable development sector services and infrastructure assets strengthened in response to climate change impacts, including variability

Indicator 4.1.1: No. and type of development sector services to respond to new conditions resulting from

climate variability and change

	Number of services	Type	Sector

Outcome 5: Increased ecosystem resilience in response to climate change and variability-induced stress

Indicator 5: Ecosystem services and natural resource assets maintained or improved under climate change and variability-induced stress

	Natural resource improvement level	Sector	Type

Output 5: Vulnerable ecosystem services and natural resource assets strengthned in response to climate change impacts, including variability

Core Indicator 5.1: Natural Assets protected or rehabilitated

	Natural asset or Ecosystem (type)	Total number of natural assets or ecosystems protected/rehabilita	Unit	Effectiveness of protection/rehabilitation

Outcome 6: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas

Indicator 6.1: Increase in households and communities having more secure access to livelihood assets

	No. of targeted households	% of female headed households	Improvement level

Indicator 6.2: Increase in targeted population's sustained climate-resilient alternative livelihoods

	No. of targeted households	% of female headed households	% increase in income level vis-à-vis baseline	Alternate Source

Output 6 Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability

Indicator 6.1.1: No. and type of adaptation assets created or strengthened in support of individual or community livelihood strategies

	Number of Assets	Type of Assets	Sector	Adaptation strategy

Core Indicator 6.1.2: Increased income, or avoided decrease in income

	Number of households (total number in the project area)	Income source	Income level (USD)

Outcome 7: Improved policies and regulations that promote and enforce resilience

measures

Indicator 7: Climate change priorities are integrated into national development strategy

	Integration level

Output 7:Improved integration of climate-resilience strategies into country development plans

Indicator 7.1: No. of policies introduced or adjusted to address climate change risks

	No. of Policies introduced or adjusted	Sector	Scale	Type

Indicator 7.2: No. of targeted development strategies with incorporated climate change priorities enforced

	No. of Development strategies	Regulation	Effectiveness
Baseline information			
Target performance at completion			
Performance at mid-term	0	1: Not enforced (No elements implemented))	1: Ineffective
Performance at completion			

Outcome 8: Support the development and diffusion of innovative adaptation practices, tools and technologies

Indicator 8: Innovative adaptation practices are rolled out, scaled up, encouraged and/or accelerated at regional, national and/or subnational level

	Sector of innovative practice	Geographic Scale	Type

Output 8: Viable innovations are rolled out, saled up, encourages and/or accelerated

Indicator 8.1: No. of innovative adaptation practices, tools and technologies accelerated, scaled-up and/or replicated

	No. of innovative practices/ tools technologies	Sector	Status	Effectiveness

Indicator 8.2: No. of key findings on effective, efficient adaptation practices, products and technologies generated

	No. of key findings generated	Type	Effectiveness