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| **FINAL PROJECT EVALUATION  "Local Governance Support Programme: Phase 2"**  **Country: Uzbekistan** FINAL EVALUATION REPORT **Prepared by**  **Olga Moreva**  **28 August 2017**  ***The contents of this report are the sole responsibility of the contractor and can in no way be taken to reflect the views of UNDP.***    The project is financed by the United Nations Development Programme |

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# Acronyms and Abbreviations

**ADR Assessment of Development Results**

**APA Academy of Public Administration**

**AWP Annual Work Plan**

**BFA Banking and Finance Academy**

**CA Central Asia**

**CCI Chamber of Commerce and Industry**

**CDR Combined Delivery Report**

**CIAD Consolidated Information and Analysis Department, Cabinet of Ministers**

**CO Country Office**

**CP Country Programme**

**CPIA Country Policy and Institutional Assessment**

**DAC Development Assistance Committee**

**DMS Document Management System**

**EC European Commission**

**EDMS Electronic Document Management System**

**EU European Union**

**DGTTF Democratic Governance Thematic Trust Fund**

**FCO United Kingdom’s Foreign and Commonwealth Office**

**GDI Gender Development Index**

**GDP Gross Domestic Product**

**GII Gender Inequality Index**

**GIZ German Development Agency (Gesellschaft fuer Internationale Zusammenarbeit)**

**FGD Focus Group Discussions**

**HDI Human Development Index**

**IBRD International Bank for Reconstruction and Development**

**ICT Information and Communications Technologies**

**ICWG Inter-agency Coordinating Working Group**

**IFC International Finance Corporation**

**IFI International Finance Institution**

**IFMR Institute for Forecasting and Macroeconomic Research**

**ILO International Labour Organisation**

**IMCL Institute for Monitoring of Current Legislation**

**ISR Institute of Social Research**

**KII Key Informant Interviews**

**LGIC Local Government Information Centres**

**LGSP Local Governance Support Project**

**LPRC Legal Problem Research Centre**

**MDGs Millennium Development Goals**

**MFERIT Ministry for Foreign Economic Relations, Investments and Trade**

**MDITC Ministry for Development of Information Technologies and Communications**

**MHSSE Ministry of Higher and Secondary Specialised Education**

**MLSPP Ministry of Labour and Social Protection of Population, renamed into:**

**MELR Ministry of Employment and Labour Relations**

**MOE Ministry of Economy**

**MOF Ministry of Finance**

**MOJ Ministry of Justice**

**MTEF Midium-term Expenditure Framework**

**NANNOUZ National Association of Non-commercial Non-government Organisations of Uzbekistan**

**NHDR National Human Development Report**

**NDI National Democratic Institute**

**NGO Non-government Organisation**

**NIMFOGO Independent Institute for Monitoring of Formation of Civil Society**

**OECD Organisation for Economic Cooperation and Development**

**OSS One-stop-shop**

**PFM Public Finance Management**

**RBM Result-based Management**

**RDS Regional Development Strategy**

**ROM Results-oriented Monitoring**

**SBAA Standard Basic Assistance Agreement**

**SCCITT State Committee for Communications, Informatisation and Telecommunications   
 Technologies**

**SDGs Sustainable Development Goals**

**SMART Specific, Measurable, Attainable, Relevant, Time-bound**

**STC State Tax Committee**

**TOR Terms of Reference**

**UNDP United Nations Development Programme**

**UNDAF United Nations Development Assistance Framework**

**UNICON Uzbekistan Scientific Research Centre for Communications**

**UN Women United Nations Entity for Gender Equality and the Empowerment of Women**

**USAID United States Agency for International Development**

**Uzinfocom Uzbekistan Centre for Development of Digital and Information Technologies**

**Uzbektourism Renamed to Uzbekistan National Committee for Tourism Development**

**WBG World Bank Group**

**WCU Women Committee of Uzbekistan**

**WIS Welfare Improvement Strategy**

# Introduction

The Final Evaluation of the Local Governance Support Programme was conducted in the period of 1 May – 31 August 2017 by an independent evaluator.

The evaluator assessed the progress of the Local Governance and Local Development reforms in Uzbekistan to date, the contributions to the reforms by LGSP Programme as a whole for the period of 2010-2017, as well as the achievements of LGSP Phase II in 2014-2017.

The evaluation took into consideration Agenda 2030 adopted by UN and the member states, including Uzbekistan; UNDAF and UNDP Strategies 2010-2015 and 2016-2020, as well previous Uzbekistan Welfare Strategies 2008-2015, the change of leadership in Uzbekistan in September 2016 and the Strategy of Actions adopted by the Uzbekistan Government for the period of 2017-2021.

Based on the findings and conclusions of the evaluation, recommendations for possible further support of local participatory development and public administration reforms were developed.

The Final Evaluation Report contains a Country and LGSP Background, Executive Summary, Programme Description and Result Framework (Section I), Evaluation Methodology and Quality of Design (Section II); Evaluation Findings (Section III), Conclusions (Section IV); Recommendations (Section V), Evaluation Terms of Reference (Annex 1); Evaluation Matrix and Comments (Annex 2), Discussion Guide (Annex 3), List of People and Organisations Met (Annex 4), List of Documents Reviewed (Annex 5); and Country Visit Mission Schedule (Annex 6).

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# COUNTRY AND PROJECT BACKGROUND

**Country Context**

Uzbekistan is a double landlocked country in Central Asia rich in natural resources, relatively young population (44% of the 32.1 million are children and youth 0-24 years[[1]](#footnote-2)) and a substantial progress on many of MDGs at national level, Human Development Index (HDI, Figure 1) and poverty alleviation. However, the income, access, gender and urban/rural inequalities had discounted this achievement by 15.8% in 2016[[2]](#footnote-3). The MDG Report 2015 emphasized significant regional differences on most of the indicators.

Over the last decade, Uzbekistan has undergone fundamental structural changes, shifting from predominantly agriculture-based economy to industry and services due to the Uzbek Government’s industrialisation policy. Between 2006 and 2013, the share of agriculture in GDP has decreased from 30% to less than 20%, while industry has grown **from** 20%to over 30%and the services contributing nearly 50% of GDP[[3]](#footnote-4) The poverty in Uzbekistan reduced from 28% in 2011 to 12.8% in 2016 (WB), regionally ranging from 10% to 33%.

In 2010, Uzbekistan became a lower middle-income economy[[4]](#footnote-5), with sustained GDP annual growth of over 8% per annum in 2010-2015 and the ambition to achieve upper middle- income status by 2030. The economy growth is forecasted to slow down at around 7% (ADB, 2017). Around 55% of the economy is owned and/or managed by the State. In 2017, the Economic Freedom Index by the Heritage Foundation ranks Uzbekistan 148 of 180. However, the country has made a good progress in improving its Doing Business rankings in the recent years[[5]](#footnote-6). Uzbekistan is not a participant to the WEF’s Global Competitiveness Report.

The population census in Uzbekistan was last conducted in 1989 and further estimated based on 10%5 sampling surveys. The number of labour migrants in Russia and other countries is estimated at 2 -2.5 million people, predominantly of working age[[6]](#footnote-7).

Since the independence, Uzbekistan has been pursuing an “Uzbek development model” passed on five principles: priority of economy over politics; state as key reformer; rule of law; strong social policy; and phased and evolutionary reforms approach. For the last two decades, Uzbekistan has been showing an impressive economic factor-driven growth, while lagging the Low and Low Middle-Income Countries on most World Bank Governance indicators in 1996-2015[[7]](#footnote-8).

**Figure 2. World Governance Indicators, Low Middle-Income Countries and Uzbekistan, Selection 2010-2015**



**Role of the Government and Local Governance**

Uzbekistan is a presidential republic with traditionally highly centralised government. For the last eight years, the World bank’s Country Policy and Institutional Assessment (CPIA) has remained at 3.0 out of 6.0 after the improvement of 0.5 from the low 2.5 in 2008[[8]](#footnote-9). In 2016, the Corruption Perception Index[[9]](#footnote-10) ranks Uzbekistan 156 of 176. On the other hand, a number of recent Government’s initiatives, i.e. Electronic Government (e-government) since 2013 has shown a good progress: according to the UN e-governance development index, Uzbekistan has improved its position from 100 to 80 out of 193 UN Member States, from 2014 to 2016 (four years ahead of the UNDAF target for 2020).

The Government of the Republic of Uzbekistan formally adopted its first Welfare Improvement Strategy (WIS), covering the period 2008–10. This strategy built on the Interim Welfare Improvement Strategy (I-WIS) for 2005–10. The WIS emphasized prudent macroeconomic management, allocated a rising share of the budget to social sector expenditures, and contained measures to enhance the efficiency of government spending. The WIS was built around a comprehensive framework for development and it provides for the transition from short-term planning and projections toward medium and long-term strategies. It also provided a conceptual framework for regional development strategies and laid the basis for a more active participatory process in implementation. The overarching objective was to promote sustainable improvements in the living standards of the population, particularly of vulnerable groups.[[10]](#footnote-11) These development goals were further emphasised in the WIS 2013-2015.

In fact, it was since 2000 that the public sector reform had been declared a priority by the late President Islam Karimov. The administrative reform, as a whole, appeared to be focused on transferring functions to local levels of government, as well as decentralizing certain social welfare functions to the community level. In 2005, a two-chamber parliament was formed, certain functions of the government were transferred to other branches and a system of checks-and-balances and oversight functions were improved. Over 27 related laws and regulations were issued. With similar efforts underway at the local level, there still remains a rigid vertical subordination between local and upper levels of government; strong focus on mechanical and technical work with limited attention for strategic thinking and policy development; double subordination of territorial departments and subdivisions of ministries both by local authorities and line ministries; and duplication of functions of departments within local governments.[[11]](#footnote-12) With some minor step towards fiscal decentralisation, the decentralisation has not made progress since the early 2000s.

UNDP has been supporting the reforms through a number of project initiatives, including this Local Governance Support Programme.

**Recent Developments**

In early March 2015, the government adopted a comprehensive structural transformation, modernization, and diversification program for 2015–2019. The key measures include further private sector development, a smaller state presence in the economy, and better corporate governance (ADB, 2015).

In February 2017, following Uzbekistan’s first change in leadership in 25 years, the government adopted a 5-year National Development Strategy for 2017–2021. The strategy identifies inclusive growth and continued economic diversification as key to its reform objectives.

The full scale of reforms is still to be thoroughly evaluated, however, it is worth mentioning some key aspects of the reforms that are having major impact on the LGSP-2:

* The President announced Year 2017 to be the “Year of Dialogue with People and Human Interests” in Uzbekistan. Under this initiative, the Government agencies established a ‘virtual reception’ for the citizens to report problems, make inquiries and file complaints and suggestions, building on the example by the President who introduced his own reception when he started heading the Government in September 2016.
* A law “On combating corruption” signed on 3 January 2017. The document came into force on 4 January 2017. The document is directed at complex legislative regulation of legal relations in fighting corruption, improving efficiency of anti-corruption measures conducted by the state bodies, organizations and institutes of civil society, as well as full elimination of corruption from all spheres of public life, creating intolerance to corruption among public via improving legal awareness and legal culture.
* Uzbekistan’s Development Strategy 2017-2021 approved in February 2017, with five priority areas: i) democratic institutions; public administration/governance/public management; ii) rule of law, civil rights and independent judiciary; iii) economic development and liberalization; iv) social development; and v) security, tolerance and foreign policy - developed on the basis of comprehensive study of topical issues, analysis of the current legislation, law enforcement practices and the best international practices, and following public discussion.
* Reportedly, 20 Laws, 180 Orders and 450 Resolutions[[12]](#footnote-13) have been issued and adopted to implement the Strategy that would impact the public administration and local governance reform.
* The Open Data reform is in full swing, with many government agencies now publicizing the data and information on their websites.
* In 2016, the President established a Virtual and Live Reception at the national and regional levels. Over 1 million complaints and grievances from ordinary people around the country have been received and addressed by the President’s Administration by August 2017.
* The e-governance reform that started as early as 1995 is being implemented in the national and regional governments, with hundreds of the public services being available online. Uzbekistan has improved its position in UN E-governance Development Index from 100 in 2014 to 100 in 2016[[13]](#footnote-14);
* A Concept of Public Administration Reform on 23 August 2017 to “ensure the modernization of the public administration system, the radical transformation of government bodies and management, ensuring their compliance with the needs of reforms and modern requirements of liberalism, democracy and responsibility.
* However, the new editions to the law ‘On Local Government’ and the corresponding another law ‘On Regional Development’ have not yet been adopted. These laws are crucial to significantly increase the role of local government bodies, supply them with an opportunity to operate as decentralized powers without referring to the republican authorities, and timely solve regional issues, thereby allocating resources based on local conditions and needs, determining priorities and attracting foreign investors.[[14]](#footnote-15)

**Regional Background**

Local government in Uzbekistan is organised on two main levels: sub-national (regional) and district/city. There are 12 regions in addition to the Republic of Karakalpakstan and Tashkent city. Each is led by ‘Khokim’ (except in the Republic of Karakalpakstan), appointed by the President. The regions are sub-divided into 200 lower level administrative units (169 districts and 31 cities), and each of these is overseen by its own Khokim (mayor/district chair) appointed by the regional Khokim. The local legislative bodies are known as ‘Kengash’, composed of elected representatives and chaired by the Khokim. As the Khokim has both executive and representative responsibility, the Kengash has limited scope to exercise an oversight function over the executive branch. The three main actors that constitute the core of local authority are: executive head (appointed khokim), a representative body (elected deputies in Kengashes) and managerial/administrative/technical staff (civil servants) (reporting to khokim and central ministries). Accountability is generally upwards to the next level of government, rather than to the people of the area. In terms of organisational culture, local government sees itself as an administrator of the territory rather than as a service provider to citizens.

**Regional Economic and Social Development**

According to the official statistical data, most of the Uzbekistan regions have demonstrated substantial growth rate in 2005-2015, with 12% in Tashkent followed by around 10% in Karakalpakstan, Samarkand and Namangan, around 8% the country average and lowest of 5% in Navoi, as shown in Figure 3.

**Figure 3. Average growth rate, Uzbekistan and its regions in 2005-2016**

*Source: Regulatory Status of the Uzbekistan Territories, U. Madrakhimov, IFMR, Presentation at APA Conference, 14 June 2017*

The actual contribution to the GDP demonstrates a more uneven picture, with over 26% contributed by the Tashkent and Tashkent Region and other regions contributing from 2.1% (Syrdarya) to 7.5% (Kashkadarya). All regions except for Tashkent have decreased their contribution to GDP despite the sustained high growth rates in the last decade. This demonstrates heavy concentration of economic development on the capital and the capital region as shown in Figure 4.

**Figure 4. Change in GRP share in GDP in 2016, per cent**

*Source: Regulatory Status of the Uzbekistan Territories, U. Madrakhimov, IFMR, Presentation at APA Conference, 14 June 2017*

IFMR ranks the Uzbekistan regions based on economic, social, financial and external trade criteria as follows:

**Figure 5. Ranking of Uzbekistan Regions by Sustainable Development Index**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Region** | **Economic index** | **Social Index** | **Financial Index** | **External Trade** | **General** | **Ranking** |
| Tashkent city | 0,744 | 0,655 | 0,464 | 0,685 | 0,637 | **1** |
| Navoi | 0,680 | 0,618 | 0,460 | 0,284 | 0,511 | **2** |
| Kashkadarya | 0,494 | 0,419 | 0,486 | 0,287 | 0,421 | **3** |
| Bukhara | 0,518 | 0,398 | 0,414 | 0,222 | 0,388 | **4** |
| Tashkent region | 0,346 | 0,564 | 0,271 | 0,316 | 0,374 | **5** |
| Syrdarya | 0,214 | 0,385 | 0,583 | 0,245 | 0,357 | **6** |
| Fergana | 0,172 | 0,341 | 0,521 | 0,252 | 0,322 | **7** |
| Surkhandarya | 0,317 | 0,338 | 0,371 | 0,193 | 0,305 | **8** |
| Karakalpak Republic | 0,158 | 0,110 | 0,628 | 0,227 | 0,281 | **9** |
| Andijan | 0,259 | 0,328 | 0,160 | 0,264 | 0,253 | **10** |
| Djizak | 0,105 | 0,332 | 0,335 | 0,209 | 0,245 | **11** |
| Samarkand | 0,189 | 0,311 | 0,247 | 0,213 | 0,240 | **12** |
| Khorezm | 0,100 | 0,315 | 0,348 | 0,196 | 0,240 | **12** |
| Namangan | 0,067 | 0,316 | 0,301 | 0,208 | 0,223 | **13** |

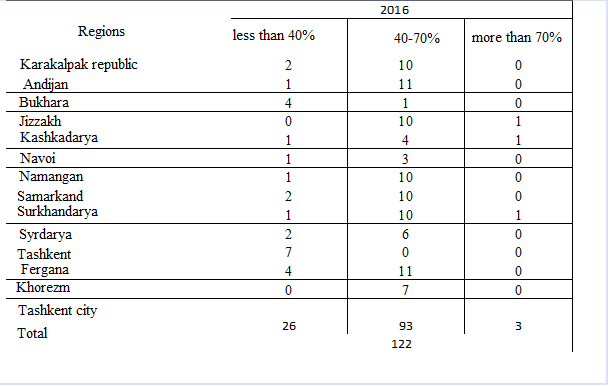
**Figure 6. Share of the budget allocations (subsidies, subventions) in local budgets, % (right scale – local budget expenditure coefficient of return on own income)**

**Figure 7. Share of the Republican Budget in the Local Budget Expenditure, %**

At the subregional level, 122 ‘rayons’ and towns of Uzbekistan are highly subsidized that testifies to the poor financial position of most of the local budgets.

**Figure 8. Share of subventions in the local budget expenditure, %**

**Figure 9. Number of districts and cities receiving subventions in the regions**



*Source of all charts: F. Gulomov, Senior Research Fellow Center for Forecasting and Macroeconomic Research under the Cabinet of Ministers of the Republic of Uzbekistan, 16 June 2017*

**Status and Achievements of Public Administration and Local Governance Reforms to date**

**The most significant recent developments impacting local governance include:**

* 2014-2017: implementation of the Electronic Governance reforms in national and regional public agencies;
* 2014: Amendments to Constitution and Budget Code to make local social and economic reports and budget compulsory for presentation and approval by local representative bodies (Kengashes);
* 2015: President’s Orders and Regulations establishing One-stop-shop Services for entrepreneurs in all cities and districts of Uzbekistan within the local khokimiyat system. By 2017, 194 OSS Centres have been established.
* 1 February 2017: President’s Resolution to transfer OSS from local khokimiyats to the Republican Ministry of Justice;
* 2016-2017: Territorial Economic Departments initially transferred to khokimiyats and then returned to the double subordination to the Republican Ministry of Economy and khokims by President’s resolutions;
* 2016-2017 – several regional khokims were replaced by the President (3 in Samarkand) by the President.
* New districts were created by the President in Tashkent region and city/district khokims and other officials were dismissed and appointed by the President. By law, regional khokim should appoint district and city khokims.
* 8 August 2017: President’s Resolution on Priority Measures of Advanced Social and Economic Development of the Regions ensuring direct control of the central and regional officials over each household and other administrative measures of control.
* 2016-2017: President considered the potential of introducing the institute of elected khokims. However, according to the President, the people were not yet ready to do it responsibly.[[15]](#footnote-16)
* 23 August 2017, a Draft President’s Resolution on Public Administration Reform was published for public discussion in 23-29 August 2017. The initiative announces end of the ‘transition period’ when the economy was managed ‘manually’ and switch to ‘modern’ methods of administration.

**Women Involvement**

“Today, women are represented in the political life of the country, state and public administration, in all branches of the economy, culture, science, public education, health and sports. They are active participants in political life. In the Legislative Chamber of the Oliy Majlis there are 15 women deputies, in the Senate of the Oliy Majlis - 17 women senators, in local Kengash deputies - 23.5%. In four political parties operating in Uzbekistan, the representation of women ranges from 36% to 50%. The "Women's Wing" has been created within each active political party.

Their place in the system of executive bodies, where their share increased fivefold, is increasing: from 3.4 percent in 2005 to 20 percent in 2015. Thus, in the top management in the Ministry of Health - 62.1 percent of women, in the system of the Ministry of Public Education - 71.3 percent. Among school principals, women make up 35 percent, deputy directors 47 percent, in primary schools 89.5 percent among female teachers, and 64.4 percent in middle schools. Among the heads of the centers "Barkamol avlod" (Young Generation), 56 percent, are women, the heads of children's preschools – 100%”.[[16]](#footnote-17)

According to OSCE, “Legislatively, 30% of the quota for women in parliament is provided. However, as a result of the elections of 2014, there are only 24 women in the Legislative Chamber of the Parliament out of 150 deputies. In Uzbekistan, only 17 women senators, representing 17% of the total number of senators. At the highest executive positions of the executive, the state of affairs is even more deplorable - the proportion of women is just over 14%. The proportion of women in government bodies on the ground, elected and appointed posts, is 17.1%. These figures are much higher in local Kengashs of People's Deputies. For example, in Yangibazar district of Khorezm region 56.6% of deputies are women. However, throughout the history of independent Uzbekistan, i.e. For 25 years there was no female khokim. True, in each khokimiyat there is a woman - deputy khokim, chairman of the corresponding Women's Committee”.[[17]](#footnote-18)

**UN and UNDP Programming, Monitoring, Evaluation and Relevant Projects**

Since 2006, UN has been implementing the ‘Delivering as One’ reform[[18]](#footnote-19). To this effect, three UN Development Assistance Frameworks (UNDAF) have been developed for Uzbekistan by resident and non-resident UN agencies, including UNDP, for the periods of 2005-2010, 2010-2015 and 2016-2020. In 2005-2015, UNDAFs were designed and measured by Agenda-2015 Millennium Development Goals[[19]](#footnote-20). For UNDAF 2016-2012, Agenda 2030 and Sustainable Development Goals lay down the key strategic objectives, benchmarks, targets and results.

Since 2005, UNDP’s Country Programme Documents have been developed approximately corresponding to the above UNDAF periods, with selected UNDAF Outcomes guiding the UNDP work in Uzbekistan.

UNDAF is evaluated and designed based on the Common Country Assessments. UNDP has also carried out an Assessment of Development Results (ADR) in 2000-2009 and evaluations of the Country Programme Action Plans (CPAP).

In addition, UNDP has been yearly commissioning hundreds of independent mid-term and terminal evaluations of selected individual projects and programmes.

Each of CPDs envisages Result-based Management and Monitoring of the Uzbekistan development initiatives by the UNDP Uzbekistan Country Office.

Separately, UN monitored the MDGs achievement by Uzbekistan in two National Reports, the latest one in 2015[[20]](#footnote-21). It is understood that achievement of SDGs will be monitored and evaluated, including through UNDAFs assessments.

The economic and democratic governance, including local governance have been core parts of the UNDP mandate in all the UNDP assistance programmes to Uzbekistan at least since 2000 if not from the beginning of its operations in Uzbekistan in 1993.

The recent governance-related initiatives implemented by UNDP in Uzbekistan include:

* *Improving Public Sector Management Skills through Building Training and Research Capacity of the Higher School of Business under the State Academy for State and Social Construction (ASSC) under the President of Uzbekistan;*
* *Improving Public Sector Management Skills through Building Training and Research Capacity of the State Academy for State and Social Construction (ASSC) under the President of Uzbekistan*;
* *Area Based Development* and *Enhancement of Living Standards* Programmes, aimed at improving the capacity of the authorities to support local development plans and empowering communities to take part in and contribute to their socio-economic development, as well as stimulating competitive access to micro-financing mechanisms, with a specific focus on rural areas.
* Under *the “Public finance Reform” UNDP* conducts comprehensive analytical work on such issues as defining the roster of expenditure obligations, which should clearly delineate the expenditure obligations among the different levels of budget; analysing the tax potential of regions, improving the inter-budgetary transfers; as well as introducing amendments to the Law “On budget system”, which envisage gradual implementation of the elements of decentralization in budget execution;
* Under the newly launched “*Capacity building for economic analysis and forecasting at national and local levels”* project with the Institute of Forecasting and Macroeconomic Research UNDP works on improving the methodology and practice of regional level development forecasting and planning.

# Executive Summary

The final independent evaluation of the UNDP Local Governance Support Programme (LGSP) took place between 15 May – 31 July 2017. This report evaluates the results of the overall LGSP Programme in the period of 2010-2017 against the priorities in the National Strategies, UN and UNDP strategic Outcomes, Agenda 2015 and 2030. The evaluation took into consideration the historic change of leadership in Uzbekistan in September 2016 and the Strategy of Actions adopted by the Uzbekistan Government for the period of 2017-2021 aimed at democratisation of the society and liberalisation of the economy, local development “in the interests of people”.

Project Background

The LGSP Programme was implemented in two phases n 2010-213 and 2014-2017. Phase 1 aimed at 1) Strengthening the budgetary authority of local government bodies; management and expansion of the revenue base of local budgets (fiscal decentralization); 2) Implementation of the Electronic Document Management System (EDS) in the Khokimiyats of Djizak and Namangan regions; 3) Establishment of 6 pilot Information Services (IS) in the pilot khokimiyats; 4) Establishment of 2 pilot One-Stop Centres (OCS) for state support. Services in Djizak and Namangan cities; 5) Tourism Development in the Zaamin District (Djizak Region)”; and the related legislative, institutional and capacity building activities to support the above results.

LGSP-2 aims to promote more effective, accountable, and inclusive local governance in Uzbekistan by 1) enhancing local governments' performance, 2) increasing citizen participation in local governance, and 3) encouraging increased accountability and transparency. Applying integrated approach to sustainable local development, the programme also contributes to the reform of policy, legislative and fiscal frameworks for decentralisation, stronger participatory planning, management and monitoring capacities for service delivery, testing and replication of options for equitable access to services and new models of citizen participation. Pilot regions include Djizak, Namangan, and Tashkent regions.

LGSP-1 had a budget of USD 1,830,000. LGSP-2 estimated as USD 3 million initiative, with actual funding as of July 2017 of USD 1,847,277 (40% underfunded vs a 70% at the beginning of the project).

At the Republican level, the project is coordinated and guided by the Interagency Working Group at the Cabinet of Ministers of Uzbekistan.

Evaluation PURPOSE AND METHODOLOY

The goal of the final evaluation of the Local Governance Support Project Phase 2 (LGSP-2) is two-fold: i) to provide a comprehensive overall assessment of the project, and ii) to provide recommendations for exit strategy and/or follow-up activities

The evaluation was conducted in three phases; documents review (May 2017), country visit (June 2017); Reforms Monitoring through independent sources, triangulation and report writing.

The evaluation questions were based by OECD/DAC criteria and the Terms of reference questions summarised as: relevance, efficiency, effectiveness, impact and sustainability, as well as mixed qualitative and participatory methods: semi-structured interviews with stakeholders, focus groups (over 220 people interviewed), project, government and media reports analysis (over 1000 resources); reconstruction of project logic; verification and triangulation of the activities and results through at least three independent sources. The key audiences included women, national and local government officials, Senate and local kengash deputies; NGOs, Chamber of Commerce and Industry; business, academia and experts.

The evaluation limitations included the short time for assessment of massive reforms; lack of knowledge of the Uzbek language necessary for the productive interviews in the Uzbekistan regions and potential bias through limited representation. Most of the limitations were mitigated during the evaluation.

Findings And conclusions

According to the interviews with stakeholders, UNDP has well established itself as a neutral and reliable partner in the development landscape of Uzbekistan, with democratic and economic governance being clear comparative advantages of UNDP. However, this LGSP Programme evaluation confirms that there is a” tension between the relationship- and process-centred nature” of the long-term UNDP objectives and the “requirements of results-based management”[[21]](#footnote-22) : The key evaluation findings include:

**Summary LGSP Programme Assessment by OECD Criteria**

**Relevance.** LGSP-2 has been highly relevant to the democratisation and liberalisation policiesdeclared in the Uzbekistan Welfare Strategies, UN Development and Assistance Framework, MDGs and SDGs. The lack of enforcement of the declared government policies used to raise concerns relative to the relevance of the local governance projects to the actual government agenda. With the new leadership in the country, there is a hope that empowerment of local government and people are not only declared but will also be implemented.

**Efficiency and Effectiveness**: the project was highly efficient at the activity level across the Activity Results (except for the service delivery component), however, it only marginally achieved the development results (mainly in the transparency area). This is partially due to the deficiencies in the design of both phases; the lack of Result-Based Management and Monitoring and partially due to the significant funding gap.

**Impact.** In spite of the lack of clear evidence of the development results, there can be a potentially strong impact of some of the project activities on the governance and public administration reforms, provided the Government will choose to utilize the tools introduced by LGS, e.g. functional analysis.

The **sustainability** of the project tools introduced (development strategies, functional analysis, e-government, legislative initiatives related to local and national public administration reform) will depend on their approval by the government and on the objective and inclusive monitoring of the reforms.

**Measuring Governance Progress Globally and Locally.** At the global level, UN measures the projects in the governance area by qualitative indicators and not by the MDGs/SDGs targets and indicators. In the view of this evaluation, this approach should be reviewed. It is the country governments that endorse and commit to the global development goals. The Uzbekistan government successfully nationalised and reported on the MDGs in 2015 and is currently adapting the SDGs to the national strategies. Therefore, governance projects should be measured by all SDGs and/or the respective national indicators, including health, education, poverty, food security, employment, environment and other SDG indicators. Most of the SDG indicators are recommended to be used to measure the sub-national and local governance and self-governance projects. This will significantly improve the quality of design and result-based management of the projects.

**Quality of LGSP programme Design.** LGSP Programme Phase 2 design promoted best development principles of inclusivity, equity and accountability. However, both Project Documents had the following deficiencies that negatively impacted the achievement of the development results: 1) Disconnect between the project outcomes and SDGs (downstreamed from the UNDAF and CPD); 2) Broad and vaguely formulated project outputs; 3) Lack of baseline studies. The baselines were established based on the assumptions and general experience (that were not always correct) without reference to verifiable sources and quantifiable data; 4) Lack of measurable progress indicators. Most of the indicators (particularly Phase 2) were mere assumptions and/or piece of some background information that could not be used to report the progress against; 5) Deficiency of people-centred targets, outputs and indicators and dominance of government-centred ones; 6)Confusion of activities, outputs, results and outcomes; 7) Result and Resources Framework (RRF) attempting to combine three project management tools: Logical Framework, Budget and Operational/Calendar Work Plan. Overwhelmed with information, the RRF is very difficult to use as a project management instrument; 8) No clear Monitoring Plan requirement against the indicators.

**Planning with Significant Funding Gap.** The ambitious LGSP Project Document covering nearly every aspect of the public administration reform was designed with 70% funding gap inevitably leading to the overstretch of resources and spreading the project activities too thin to achieve tangible development results. The very unfortunate result of it was LGSP abandoning monitoring of one-stop shops for public services that could have provided first-hand information and lessons learnt for the reforms.

**Women Empowerment.** LGSP Programme has attempted to incorporate the gender issues in the future public administration and civil service reforms and the related legislation. However, not much progress has been reported in terms of women in power within LGSP.

**Developing Sustainable Institutional Capacity for the Reforms.** LGSP operated as a standalone project providing expert assistance to a number of local stakeholders. This approach has the advantage of independence. However, from the development perspective, it is more effective to build capacity within the local institutions, rather than providing temporary non-institutionalised external expertise.

**Monitoring of the Reforms.** The analysis of the quarter of a century of the declared governance reforms and the results of their actual implementation reconfirms the acute need for the result-based monitoring both within the government and the donor programme. Many of the ‘new tools’ promoted by LGSP (e.g.functional analysis, one-stop-shops) have been piloted in Uzbekistan with various level of success but the lessons from the reforms have not been institutionalised and learnt resulting in many repeated mistakes and wasted resources. Monitoring should be independent, objective and evidence-based. UNDP can play an invaluable role in providing this support to the Uzbek people.

**Quality Control and Result-Based Monitoring in UNDP.** UNDP is equipped with strong methodologies of quality and development result monitoring. However, the UNDP staff approves the project reports that ignore basic RBM requirements. It is also clear that there is some degree of duplication on the governance projects that can be avoided if there was a single programmatic strategy and RBM of the sector/area portfolio.

Recommendations and Lessons Learnt

The following lessons learnt and recommendation are offered to UNDP based on the evaluation analysis:

1. **Improve Linkage between Projects and SDGs.** Ensure better links between Governance projects and SDGs, UNDAF and UNDP Country Strategies, so that projects would clearly contribute to the higher-level targets and goals in a measurable way. Government is responsible for all the 17 SDGs achievement and its effectiveness should be measured by nationalised SDGs plus other globally measured benchmarks: HDI, World Governance Index; Doing Business, Freedom Index, Transparency Index, and other. For example – SDG 1 eradicate extreme poverty – identify and eradicate the extreme poverty cases in Uzbekistan through local governance/development projects. The SDG will be then further translated to the regions, city/district and mahalla levels.

**1.1 Ensure Localisation of Sustainable Development Goals.** There is an existing SDG working groups at the Statistics Committee that is to lead the Government on the nationalisation of SDGs. UN CO can support an additional SDG Localisation Work Group that would translated the adapted Uzbekistan National SDGs into Regional and, potentially District SDGs., using the established SDG indicators. After the indicators and action plans are agreed for each region, the national and regional monitoring will be conducted, with publicly available annual and five-year reports, corrective action publicly discussed.

**2. Consider Further Areas of Local Governance Support:**

While the President of Uzbekistan has been successfully establishing a series of new government rules, it is recommended to concentrate future support in the Local Governance sector on developing **local governance and self-governance institutions**, and in particular their following functions:

**2.1 Inclusiveness:** involvement of women, NGO, poor, disabled, youth, entrepreneurs through encouraging their self-organizations and insitutionalising their involvement in all local decisions at all levels: mahalla, rayon, city, oblast – by law and by practice. Monitor, measure, publicly acknowledge their involvement.

**2.2 Integrated Regional Strategic Development**: technical support in further development of integrated regional strategic planning based on robust baseline assessments, measurable socio-economic indicators and quarterly, annual and triannual monitoring and evaluation as part of effective institutions development.

**2.3 Local Civil Service Committed to People-centered Reforms**: support the implementation of the Civil Service Reform at the local levels, transparent and accountable standards for all levels of the local civil servants and help measure the impact on their service on the various strata of the local population – through detailed, clear and measurable system of performance indicators and population opinion surveys.

**2.4 Trade Potential Assessments**: Taking into consideration a number of the Uzbekistan regions bordering other countries, regional trade assessments as well as potential impact of WTO accession on the local development could be of high value and would inform the regional development plans.

**3. Improve Project and Programme Operations**

**3.1 Strengthen Result-oriented Management.** It is recommended to provide training on Result-based Management and Monitoring to all core UNDP staff and all the project employees and consultants on an annual basis. Many activities and tools introduced by UNDP projects tend to become an ‘end in itself’ or ‘endless processes’ and declared as ‘development results’ even before they are scaled up and adopted (e.g. laws, OSS, functional analyses, etc.).

**3.2 Ensure Establishing Measurable and Verified Baselines and Indicators.** It is recommended to establish measurable and verifiable baselines and indicators in each UNDP project. Sometimes it requires conducting baseline studies and surveys that might seem to be an extra cost in the situation of limited funding. However, SMART approach is an investment that will eventually help to achieve development results at reasonable cost or cut ineffective projects.

**3.3 Develop Realistic Budgets.** It is recommended not to design projects that have more than 30% funding gap. It is always possible to scale up and/or expand successfully implemented activities with additional funding.

**3.4 Improve Quality and Presentation of Project Reports.** It is recommended that UNDP should require all projects to have a background section, an executive summary and result and activity narrative and the documentary evidence attached to the reports so that an external reader could easily and quickly familiarise themselves with the project progress and achievements.

**3.5 Ensure Coordination and Prevention of Effort Duplication.** Country Office should have and in-house facility for the Country Programme, Thematic Areas and individual projects monitoring and a regular (quarterly basis) in order to identify and prevent the duplication of activities.

**4. Mobilise Specialist Support to Women Empowerment.** Cooperate with UN Women for any women component in any project, including Governance. The time of simple declaration of women importance is over. Tailor made approaches by specialist organisation are necessary to achieve gender improvements.

**5. Promote and Support a Population Census.** In a series of public speeches, President Mirziyoyev has emphasised the gaping gap of information on how many people live in each Uzbekistan household, what age they are, what is their employment status and what help they might need. This information is needed to improve people’s welfare and to better plan and manage the budget resources. The last Census in Uzbekistan was conducted in 1989. There have been a lot of population changes since then. The new Census that can be supported by UN Group and other donors could address that population information need. This can be done using modern ICT technologies, including mobile phone applications (there are 21.5 million mobile services users as of August 2017).

**6. Utilise Internationally and Regionally Benchmarkable Governance Measuring Methodologies, e.g. Subnational Doing Business Surveys.** It is recommended to assist the Government Commission on Doing Business Reforms design and conduct a Subnational Doing Business Survey using the World Bank’s Doing Business methodology with four sampling groups: e-governance clients; one-stop-shop clients, non-one-stop-shop clients, women entrepreneurs; rural entrepreneurs, at least 50 in each group. Currently, BFU-3 is considering conducting subnational DB surveys in Tashkent and two other regions. It is recommended that UNDP supports the subnational surveys in all the 14 regions of Uzbekistan that will present an internationally comparable assessment of the business climate at the regional level. It is recommended that the Government of Uzbekistan would then run an annual regional DB competition, similar to the e-Transparency Competition introduced in 2016.

A separate sub-national survey of selected public (non-entrepreneurship-related) services in regional centres, districts and cities and mahallas – either a standalone exercise to inform the governance reforms or as part of a more comprehensive local development project, e.g. as described below.

**7. Conduct Practical Steps for Top-down and Bottom-up Governance Reforms**

**7.1 Top-down.** It is recommended that the Government of Uzbekistan could establish a dedicated team for the Public Administration Reform design and implementation (commission) directly reporting to the President. The initial analysis will be based on 1)The long-term objectives of the country, e.g. nationalised Agenda-2030: prosperity, eradication of poverty, achieving high income status, etc.; 2) The key objectives of the Country Strategy in place, e.g. Strategy of Actions 2017-2021; 3) Comprehensive analysis of all public services and functions at the national, regional, local and mahalla levels, as there are currently both vertical and horizontal redundancies, duplications and inefficiencies; 4) Clear targets, indicators, timelines and resource pan for the reform; 5) Monitoring and Evaluation mechanism in place to take corrective action at all levels.

It is recommended that UNDP consider supporting the initiation of such commission and its support. The LGSP Inter-agency Working Group could be a prototype of the possible commission. However, unlike LGSP, the Government funding would be a prerequisite for its operations and the reforms.

**7.2 Bottom-up.** Following the Uzbekistan President’s Resolution Priority Measure if Local Development Resolution of 8 August 2017, all the local development reforms will be from now on in the order of “Mahalla-District/City-Oblast-Republic”, i.e. based on ordinary people needs. It is proposed to concentrate future UNDP interventions both on the top-down and bottom-up governance initiatives; assist the local officials in selected disadvantaged local mahalla councils, district knokimityats and regions to collect primary statistical and socio-economic data, inform the district development, support local development projects, strengthen self-governance; help decrease the dependence on subsidies and scale up the successful practices, while at the same time preparing the policy framework for the Public Administration and Local Participatory Governance Reform at the national level.

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# LGSP Programme Description, Logic Theory and Result Framework

The Local Government Support Programme Phase 2 (LGSP-2) started on 1 March 2014 and is due to end by 31 December 2017. It builds on the achievements of LGSP- Phase 1 implemented in 2010-2013.

## LGSP Programe Summary

The LGSP-1 achievements summary as stated in the Table of LGSP-1 Results by the LGSP Team on 19.06.2017): “1) *Strengthening the budgetary authority of local government bodies; management and expansion of the revenue base of local budgets (fiscal decentralization); 2) Implementation of the Electronic Document Management System (EDS) in the Khokimiyats of Djizak and Namangan regions; 3) Establishment of 6 pilot Information Services (IS) in the pilot khokimiyats; 4) Establishment of 2 pilot One-Stop Centers (OCS) for state support. Services in Djizak and Namangan cities; 5) Tourism Development in the Zaamin District (Djizak Region)*”; and the related legislative, institutional and capacity building activities to support the above results.

The LGSP-2 Summary from the Project Document of 28 February 2014 reads:

“*The Local Governance Support Programme/Phase-2 aims to promote more effective, accountable, and inclusive local governance in Uzbekistan by enhancing local governments' performance, increasing citizen participation in local governance, and encouraging increased accountability and transparency. Building on Local Governance Support Project/Phase-I implemented from 2010 to 2013, LGSP-2 will support the government's efforts to increase the capacity of regional and district level authorities to manage the implementation of increased decentralisation/ deconcentration of administrative and fiscal authority.*

*Applying integrated approach to sustainable local development, the programme will also contribute to the reform of policy, legislative and fiscal frameworks for decentralisation, stronger participatory planning, management and monitoring capacities for service delivery, testing and replication of options for equitable access to services and new models of citizen participation. Pilot regions will include Djizak, Namangan, and Tashkent regions*.”

**Project Budget**

The overall budget requirement for LGSP-2 was estimated at $3 million (Prodoc 2014), with confirmed funding of $700,000.00 and ‘unfunded budget of $2,300,00.00 as of the Project Document 2014. As of 30 June 2017, the total project budget had increased to $1,847,277.70 with additional funding allocated by UNDP and FCO. The unfunded budget as compared to the total budget initially planned was $1,152,722.30 (38%). This had a significant impact on the quality of the project implementation as further discussed in the evaluation findings section.

**Project Goal, Output and Activity Areas**

According to the LGSP-2 Project Document (Prodoc), the main **goal/output** of LGSP-2 is “*strengthening local governance at regional and district levels to ensure accountable, inclusive and equitable local development*.”

The programme strategy has been aligned with the latest UNDP programming guidelines on adopting an integrated approach to local development and will primarily tackle three areas: **the administrative capacity to deliver local public services, the accountability of local governance, and the financial transparency framework for local government.[[22]](#footnote-23)**

The Project Implementing Partner is the Cabinet of Ministers of Uzbekistan.

The project has three Activity Results that operate at system/policy, organisational and individual levels:

Activity result 1: Reforming the system of public administration and strengthening the administrative capacity of local authorities and management.

Activity result 2: Empowered local governments for equitable development, local accountability and for better quality and transparency of financial management on planning and performance of local budgets.

Activity result 3: Increased democratic accountability and openness of local executive and representative authorities as well as active public participation at local decision-making.

The Activity Result Areas as planned present a potentially inclusive local governance development. The de-facto implementation logic is analysed in the Findings Section.

## LGSP Logic Theory and Results and Resources Framework

The Local Government Support Project was designed based on the presumption that there is a strong commitment of the Government to decentralisation: “*the government recognises the limitations of the current system, and the desirability of decentralisation/deconcentration of more policy, budget and investment power to local level*s”[[23]](#footnote-24). The LGSP1 and 2 Prodocs referred to the Government policies and strategies where the local governance/decentralisation reforms have been declared as one on the ley objectives in the period of 2008-2015.

However, the actual progress does not indicate that decentralization and related local governance reforms are priorities. With the previous and current leadership, there are always more urgent political and economic tasks at the national level than decentralization and whatever problems exists at the local level have been managed by the Republican Government and/or the President himself.

As stated by the Deputy Chairman of ILGSP CWG, Cabinet of Ministers as a comments to the LGSP functional review findings: “*The survey identified a number of difficulties in khokimiyats' work. Khokimiyats do huge amount of work using few resources. It revealed 802 functions, including those duplicated by other state authorities, as well as extrinsic functions. However,* ***during the transition period, such mobilization of forces and resources of khokimiyats enabled the annual growth of GDP by 8 per cent, and the growth of population welfare*.”** Minutes of the Meeting of the lnteragency Coordination Working Group (hereinafter - ICWG) and a Project Board on a joint project of the Cabinet of Ministers and UNDP "Local Governance Support Project/Phase-2" 16 December 2015

It is true that Uzbekistan has demonstrated sustainable economic growth and per capita income, as well as good progress against a number of MDGs, including poverty, education and health. However, the MDG Report 2015 prepared by the Uzbekistan Government emphasized that there are significant discrepancies in the development between the Uzbekistan regions.

There is a general presumption in the Governance sector that development results can be achieved through development and improvement of legislative frameworks, capacity development of civil servants, introduction of ICT in governance and participation of non-government sector.

However, the reality in Uzbekistan and CIS is that the laws are often not enforced and/or directly violated, the non-government sector is funded/controlled by the Government, the e-services are not accessible to big shares of population and capacity building programmes do not focus on the population needs. Some priorities are always declared and never implemented.

In other words, ordinary people often do not benefit from the governance reforms and at times their welfare deteriorates as a result of the reforms.

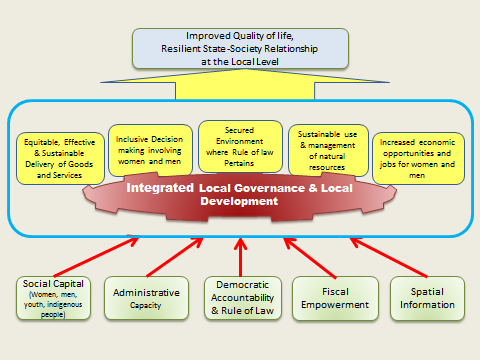
There was no serious baseline study conducted before the launch of the LGSP programme that would inform an evidence-based approach to the programme design (e.g. regional statistical data, regional progress against MDGs, status of the civil society institutions, other donors’ results at the local and national level, etc.)

**LGSP is one of the programmes that s primarily oriented on the government processes and much less on what impact they have on the people’s lives as shown in the Result and Resources Framework analysis.**

**Project Document and RRF Link to MDGs, SDGs and UNDAF**

Figure 10. Project logic schematic, Prodoc 2014.

These outcomes are not measured in LGSP



Both LGSP-1 and LGSP-2 Prodoc RRFs refer to the Governance-related Outcome 4 in CP and UNDAF 2010-2015: “*Strengthening efficiency, inclusiveness and accountability of the public administration at central and local levels*” and Country Programme (CP) Outcome 3.2: “*Strengthened public administration at all levels that exercises efficient, accountable and inclusive governance*”.

With the new UNDAF and CP 2016-2020, the LGSP-2 contributes to UNDAF Outcome #7: *“Effectiveness, inclusiveness, accountability of governance at the central and local levels enhanced*”, and the UNDP Country Programme Outcome 3.2 “*Strengthened public administration at all levels that exercises efficient, accountable and inclusive governance*”.

One of the major observations of this evaluation is that according to UNDAF and CP, Governance and Local Governance area is not directly related to any MDG nor SDG. The Governance is measured by “*availability of institutional capacities at central government for policy coherence, planning, resource management and operational coordination (roadmaps) for better public service provision.* Baseline: Limited (2014) Target:Yes (2020) *” leading to an Outcome: .* By 2020, the quality of public administration is improved for equitable access to quality public services for all.

**Indicator:** Improvement of unified national system of civil service (merit based system for appointment/ promotion/performance evaluation).

Baseline: requires improvement Target: System of professional/transparent recruitment and promotion of civil servants improved(2020).

**Indicator:** Ranking of Uzbekistan in United Nations’ e-government development index.

With the exception of the e-government development index, other indicators are hardly measurable.

The SDGs nationalisation and monitoring was allocated in Outcome 1.

The qualitative indicator should be the public opinion of the public service quality and accessibility, while the quantitative indicators of the governance effectiveness should be poverty levels, incomes, education, health, utilities, security, business services, social services and other SDGs.

On the one hand, this approach allowed to concentrate on the Governance-related outputs. On the other hand, it, in fact narrowed the LGSP-1 and LGSP-2 outputs to the Government rather than the Local Governance support. In this relation, it is worth mentioning that “*While local government is the essential institutional building block for local governance, the wider governance sphere comprises a set of state and non-state institutions, mechanisms and processes, through which public goods and services are delivered to citizens and through which citizens can articulate their interests and needs, mediate their differences and exercise their rights and obligations.*”[[24]](#footnote-25)

UNDP uses a concept of *decentralized governance for development.* “*Decentralized governance is not a panacea or a quick fix. The key to human development-friendly decentralized governance is to ensure that the voices and concerns of the poor, especially women, help guide its design, implementation and monitoring*.”[[25]](#footnote-26)

With only process and/or qualitative indicators in the Governance Outcomes in both UNDAFs and CPs, this links between the poor and governance; the ordinary people and the government; the Governance Outputs and Outcomes and MDGs/SDGs seems to have been partially lost.

The UNDAF/CP 2016-2020 reflects the UN Agenda-2030 and targets for Sustainable Development Goals adopted by all UN Member States in September 2015.[[26]](#footnote-27) It is crucial for UNDP to localise the post-2015 development agenda and the Sustainable Development Goals (SDGs)[[27]](#footnote-28) and link to all measurable UNDAF and SDG targets to any national and local governance and local development programme, particularly SDG 1 - the poverty alleviation.

**RRF Indicators**

The LGSP-1 RRF had six Activities (Result Areas) and a number of qualitative and quantitative indicators to measure the project progress. With a most of the panned activities and qualitative outputs successfully delivered, the quantitative results were not reported (and probably not measured), including the *number of women in civil service; number of OSS users; number of abolished government functions; number of laws revise, abolished, and newly drafted; number of citizens/media requests fulfilled; percentage of government business handled electronically; number of officials trained; number of NGOs and businesses involved in public-private dialogue, number of new businesses established, number of Public-Private Partnership projects launched*.

As discussed above, the underreporting or lack of reporting against the quantitative indicators in RRF probably was partially the result of clear quantitative indicators at the Outcome level to which they should have contributed. The reporting seemed to have focused mainly on reporting the project sub-activities that individually or summarily, directly or indirectly contributed to the qualitative Outcome of improved governance in the CP and UNDAF as it was concluded by the Final Evaluation of LGSP Phase 1.

This approach to monitoring and evaluation did not allow for establishing quantitative baselines for LGSP-2.

In LGSP-2 RRF, there are three Result Areas, with five qualitative indicators and two quantitative indicators, as well as qualitative targets for each year of implementation. Like in LGSP-1, there is not clear link to measurable MDGs nor other Outcomes in UNDAF and CD. The progress against the RRF indicators is discussed in the Findings Section.

## Partnership with Other UN Agencies and Other Donors

The key donor partner and co-funder to UNDP within the framework of LGSP is UK FCO. The project has also benefited from the support from the Czech-UNDP Trust Fund (Regional Development Strategy methodology), Ministry of Foreign Affairs of Latvia (two study tours), Ministry of Finance of the Czech Republic (study tour).

LGSP-2 also cooperates with international organisations and donors: World Bank, GIZ and USAID on area based development, UN Women on women empowerment in rural areas, NIMFOGO and NDI on local elected bodies and civil society participation, OSCE on responsive governance and others. The evaluation will also seek meetings with ADB, EU and other donors involved in the regional, rural, social, public administration and rural of law.

# Evaluation Methodology

## Evaluation Objectives

The TOR and Client’s expectations are clear. The goal of the final evaluation of the Local Governance Support Project Phase 2 (LGSP-2) is two-fold: i) to provide a comprehensive overall assessment of the project, and ii) to provide recommendations for exit strategy and/or follow-up activities.

The purpose of the Final Evaluation is:

* To assess overall performance against the Project objective and outcomes as set out in Project Document.
* To assess the effectiveness and efficiency of the Project.
* To analyze critically the implementation and management arrangements of the Project.
* To assess the sustainability of the project’s interventions.
* To list and document lessons concerning Project design, implementation and management.
* To assess Project relevance to national priorities.
* To assess changes in the baseline situation and provide guidance for the future activities in the area of promoting local governance reform and regional development planning.

With LGSP-1 achievements and lessons learnt have been taken into consideration, the LGSP programme has been assessed as a whole at the outcome and output levels. The evaluation was conducted with particular attention to gender, youth and disadvantaged groups.

## Geographical Scope

As mentioned in the TOR, the regions for field evaluation were the three LGSP-2 pilots: Tashkent, Djizak and Namangan regions. With the consideration of the national reforms and partnerships, a series of meetings and interviews were conducted in Tashkent as reflected in the final Country Mission Agenda (Annex 6).

## Evaluation Methodology

**Evaluation Policy Updates**

The TOR refers to the UNDP Evaluation Policy 2011 and PME Handbook 2009/2011 as the guiding documents for this evaluation. Since the TOR was prepared, UNDP has updated the Evaluation Policy and UNEG Norms and Standards following the new requirements of Agenda-2030 and SDGs. At the Inception, it was agreed with UNDP that these new norms and standards were to be sueed for this evaluation, specifically:

* Increased prominence of the evaluation following the 2030 Agenda and SDGs and their incorporation in the evaluation policy documents and UNDAF;
* Resolution 69/237 on “Building Capacity for the Evaluation of Development Activities at the Country Level” as adopted United Nations General Assembly;
* The updated UNEG N&S includes 4 new Norms:

a) Internationally agreed principles, goals and targets;

b) Human rights and gender equality;

c) National evaluation capacities, and

d) Professionalism, with a stronger emphasis on the utility and use of evaluation.

* Emphasis on both duty bearers and rights holders (particularly women and other groups subject to discrimination) as primary users of the evaluation;
* Emphasis on evaluation follow-up and utilization.

**LGSP-2 Evaluation Methodology**

The proposed evaluation approach is based on best international practices on programme evaluation, the UNEG Norms and Standards 2016, UNDP Evaluation Policy 2016, PME Handbook 2009/2011 and UNEG’s “Integrating Human Rights and Gender Equality in the Evaluations” Document, 2014.

1. **Project Rationale and Logic**

The LGSP-2 Project rationale and logic was analyzed/reconstructed in order to identify all the activities and expected effects (outputs, results and impacts), as well as the assumptions that explain how the activities lead to the effects in the context of the LGSP-2 intervention.

Given the purpose and intended use expressed in the evaluation TOR, the evaluator used a theory-based, utilization-focused approach. Theory-based evaluation focuses on providing an in-depth analysis of a program’s underlying logic and causal linkages—in other words, providing a close examination of each step in a program’s theory of change/result logic. Importantly, it does not assume a simple, linear cause-and-effect relationship between a program’s inputs and activities and desired outcomes. Rather it recognizes that a multitude of factors and interactions influences a program’s impact and looks to identify those causal factors judged to be most critical to a program’s overall success.

The evaluator’s approach also drew on utilization-focused methodologies to ensure that the information generated by the evaluation is useful to UNDP. While the TOR is clear in laying out the purpose of the evaluation, the evaluation team used the initial briefing meeting to confirm UNDP/Uzbekistan goals and objectives and the type of information and insights that will be most useful to UNDP decision-making. The evaluation has also explored with UNDP/Uzbekistan personnel how the CO is using existing data, identified pitfalls in past evaluations, and proposed potential ways in which the evaluation’s results will be used.

Taken into consideration heavy concentration of LGSP on activities rather than results, the evaluator took a step back and used the following basic UNDP approach to planning, monitoring and evaluation:

*“Planning, monitoring and evaluation processes should be geared towards* ***ensuring that results are achieved****—not towards ensuring that all activities and outputs get produced as planned...*

*It is not often clear what development partners such as UNDP are accountable for and what they should therefore focus on. It is sometimes suggested that since development agencies’ initiatives are generally small, have limited impact and are not accountable for development changes or high-level results, they should focus on outputs. This Handbook argues that what really matters are the development changes that occur in countries and* ***improvements in******people’s lives*** *(UNDP Handbook on Planning, Monitoring and Evaluation for Development Results, ‘PME Handbook’, 2009, last emphasis added by the evaluator)*

The project theory of change was constructed relying on the Project document and other relevant sources. It describes a Project as an intervention with cause and effect connections among inputs, activities, outputs, outcomes and impact. The utilization of the logic model allows clearly separating outputs, which are tangible, time-bound products resulting from Project’s activities from outcomes, which are changes in the real world, triggered by a set of outputs.

1. **Evaluation Questions**

The evaluation questions are based on the TOR and UNDP/OECD-DAC key evaluation criteria: relevance, efficiency, effectiveness, sustainability, impact, plus human rights and gender equality. The key evaluation questions proposed include several master questions with different implications on what is to be measured at the system/policy; organisational/institutional and individual levels. Specific TOR questions are clustered around the master criteria/questions. The detailed Evaluation Matrix and Project Results Matrix are attached in Annex 2.

**Table 1. Master Evaluation Questions**

|  |  |
| --- | --- |
| **Criterion** | **Evaluation Question** |
| Relevance | * 1. Project Strategy: To what extent is the LGSP strategy relevant to country priorities, country ownership, and the best route towards expected results? |
| Effectiveness | * 1. Progress Towards Results: To what extent have the expected outcomes and objectives of LGSP been achieved thus far? |
| Efficiency | * 1. Project Implementation and Adaptive Management: Has LGSP been implemented efficiently, cost- effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project’s implementation? |
| Sustainability | * 1. Can the project-supported models and activities be further implemented without donor support? To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results? |
| Impact | * 1. To what extent has LGSP contributed to the welfare of men and women, youth and disadvantaged within and beyond the project scale? What models, systems and practices are replicable and have broader impact beyond the pilot regions? |

Each of the Evaluation Questions were attempted to be answered in relation to each AR and Action where applicable.

1. **Evaluation Tools**

The evaluation made use of the following tools and techniques:

* ***Desk study*** of the project documents and background research in 15 May – 2 June 2017 (Annex 5);
* ***Telephone interviews/backstopping with the UNDP Co Cluster on Good Governance, Policy and Communications and LGSP Project Team at Inception and post-field-visit stage; workshops and meetings during the country and filed visits;***
* ***Selection of representative sample of project actions, methodology/tools, work plan, report outline;***
* ***Site visits, observation*** ***and*** ***key informant interviews*** *(KIIs; Discussion Guide attached in Annex 2)*;
* ***Semi-structured Key Informant Interviews (KIIs) and Focus Group Discussions (FGDs)*** with the beneficiary men and women, youth, disadvantaged people, government, parliaments and other stakeholders as shown in Tables 2 and 3;
* ***Triangulation*** of information from various government and non-government sources to ensure the validity of information gathered;
* ***Collection of research / assessments from government/academia/donors/NGOs***;
* ***Qualitative and quantitative assessment*** of the social, economic and statistical data;
* ***Debriefing/Validation meeting with UNDP at the country visit end (16 June 2017);***
* ***Additional Desk Research to triangulate the findings of the in-country meetings, June-August 2017 (Annex 6);***
* ***Evaluation findings/recommendations/formulation and validation, June-August 2017***

1. **Key Stakeholders, KIIs and FGDs**

The evaluation targeted to interview and/or meet in Focus Groups up to 200 people in total in order to achieve the minimum representative sampling standard. In total, 223 people were met during the country visit, with around ten meetings and discussions at the Modernisation of Local Governance Conference on 16 June 2017 in Tashkent (85 participants).

The evaluation planned that 50% of meeting participants would be women. However, it was possible to achieve only 36% due to the fact that most LGSP project partners in the local and national governments are men.

Out of the 223 people interviewed/met, 77% were local and regional stakeholders. 41% were local Government and Kengashi representatives; 31% - NGOs, local self-governance and media; 7.8% - Republican Government and Parliament; 11.2% - UNDP and other donors; 13% - private sector; and 3% academia and training institutions. The total may not make 100% because some of the stakeholders combine two and more occupations. More detailed breakdown of Key Informant Interviews and Focus Groups are presented in Tables 2 and 3 and full list of participants in Annex 4.

All the meetings participants will be familiarised with the confidentiality protocols.

**Table 2. Key Informant Interviews - National Level**

|  |  |
| --- | --- |
| **Category/organisation** | **Total numbers - tbc** |
| Women, men, youth, disadvantaged (informal interviews) | 8 |
| UNDP CR, GGPC Cluster and LGSP Team | 22 |
| Cabinet of Ministers, CIAD | 2 |
| Oliy Majlis, Senate Commission on Local Representative Bodies | 5 |
| MELR, MOJ, MOF, MOE | 8 |
| Academy of Public Administration and Banking and Finance Academy | 4 |
| British Embassy/FCO | 2 |
| Delegation of European Union | 1 |
| Chamber of Commerce and Industry of Uzbekistan | 2 |
| **Total** | **54** |

**Table 3. Key Informant Interviews and Focus Group Participants – Regions and Districts**

|  |  |
| --- | --- |
| **Informant Category** | **Total numbers** |
| Service users: women, men, youth, disadvantaged | 60 |
| Khokimiyats, Heads, focal LGSP points and staff | 52 |
| Kengashes (local assemblies) | 10 |
| Information Serrvice, e-Hujjat, OSS | 20 |
| Participants of LGSP Study Tours | 6 |
| Private Sector | 7 |
| Tourism facilities | 4 |
| Local NGOs | 10 |
| **Total** | **169** |

1. **Evaluation and Formulation Constraints**

The key challenge of this Evaluation was to measure the achieved LGSP Programme’s benefits to ordinary, poor and socially excluded people. This was to some extent addressed by focus groups and direct interviews with primary and secondary beneficiaries outside the official schedule, analysis at least a thousand comments to the media articles related to the local governance reforms and other available statistical and sociological data analysis.

Other Constraints, Limitations and Mitigation strategies included:

**Table 4. Constraints and Limitations**

|  |  |  |  |
| --- | --- | --- | --- |
| **Constraint/Limitation/Bias** | **Result** | **Mitigation Strategy and Lessons Learnt** | **Lessons learnt** |
| LGSP Programme did not have baselines in Phase 1 and Phase. | No objective way to measure the performance relative to the initial status with the current status based on the project reporting | Extensive evaluation research of secondary data | Establish measurabe baselines for every UNDP project |
| LGSP did not have regular monitoring system in place and did not report the results by targets and indicators | No evidence of measurable results | Extensive evaluation research of secondary data | Introduce M&E systems in each UNDP project with quantifiable indicators |
| The scope of the evaluation does not allow for large-size population survey in pilot regions. Potentially small/non-representative sampling | Sampling bias | Triangulation with other sources: other donor reports, GOL statistical data | Qualitative evaluations are no replacement of representative surveys; baselines or result-based monitoring and management |
| Women, youth and disadvantaged under-represented | Selection Bias: not reaching marginal populations | Focused data collection tools, data triangulation; at least one FGD with target women, youth and disadvantaged in each region | Even if evaluator manages to achieve gender and other groups balance it is no replacement of the implementation efforts |
| Visits to the regions were too short. Although many people and groups were met, the lack of time prevents from in-depth interviews | Superficial interviews | The evaluator should have insisted on longer regional/local visits | On local development programmes, At least 70% of time should be allocated to the local visits for them to be meaningful even if LGSP depends on the central governments |
| In most cases of the regional interviews, the evaluator had to carry out the discussions through LGSP Project Managers because the stakeholders did not speak Russian | Potential Bias | The interpretation need was not forseen in the TOR | Ensure that the Uzbek language interpretation capacity is budgeted and provided for all local evaluations in Uzbekistan.  The same is related to translation of key local documents (e.g. Government Action Plans) |
| Respondents respond in order to receive continued assistance from UNDP/Uzbekistan | Response Bias toward positive feedback | Will be covered during informed consent | Not all people were comfortable to speak openly. Smaller groups and some facilitation from local staff are still needed for interviewees to speak more openly |
| Potential lack of quantitative indicators and targets to measure progress, outcomes and impacts | Potential bias of predominantly qualitative assessment (further analysis needed) | Raised with LGSP Team at Inception; quantitative data will be collected where possible | UNDP should not accept projects designs nor reports that do not have measurable indicators and monitoring arrangements/reports. |
| Limited government and statistical data | Statistical/data/forecasting Bias and/or inaccuracy | Triangulation with donor data and analysis and other alternative sources of information |  |
| Insufficient evaluation utilisation | Risk of lessons not fully learnt and/or successes not replicated | Not all lessons were learnt from previous evaluations. e g. activity vs. result focus | Address the issue at the UNDP CO management level. This is related to LGSP and other UNDP projects. |
| Insufficient forecasted funding for the necessary further support | Critical results and activities not included in the Formulation; lower quality programme | Focus on critical actions; mobilize Government and business resources; promote LGSP-3 to other donors (including through the proposed follow-up event) | No clarity what funds are available for future interventions design. This negatively impacts both the quality of design (wishful thinking) and implementation (many individual activities with little cohesion, monitoring and follow-up) |

## Evaluation Users

As per the UNEG N&S requirements, the primary beneficiaries are the primary evaluation users, hence they will be involved in most of the evaluation discussions. Other primary users include:

* UNDP and other UN Agencies involved;
* Cabinet of Ministers as Implementing Partner;
* Inter-agency Working Group;
* FCO and other interested donors;
* Oliy Majlis;
* Lead Ministries;
* Pilot Regions and District Administrations and Kengashes;
* Potential interested regions;
* Research and Training Institutions involved;
* CCIs;
* NGOs and Women associations involved.

# Evaluation Findings

This Section presents the findings, conclusions and recommendations based on the evaluation questions in the Terms Reference. For ease of use, the evaluation questions are grouped around the Master Questions following the OECD/DAC criteria; Relevance, Effectiveness, Efficiency, Sustainability and Impact. The Master Evaluation Questions are also supplied with the relevant questions from the TOR.

## 3.1 Relevance

**Master Question: Project Strategy: To what extent is the LGSP strategy relevant to the country’s and UNDP priorities, country ownership, and the best route towards expected results?**

*Related evaluation questions from the Terms of Reference:*

*“Project concept and design:* *The evaluator will assess the project concept and design. He/she should review and provide an evaluation of the project strategy, planned outputs, activities and inputs, implementation modality, clarity and effectiveness of management arrangements and cost-effectiveness of approaches taken in relation to the overall project objectives.*

*Project strategy: How and why outputs contribute to the achievement of the expected results. Examine their relevance and whether they provide the most effective route towards results.*

**Relevance to National Strategies**

LGSP followed the priorities of the National Welfare Improvement Strategies (WIS) 2008-2010, and later WIS 2013-2015. It is in line with the priorities for national and local development of the National Development Strategy 2017-2021. As discussed in Section 1, the project is highly relevant to the Outcome 4 of the CP/UNDAF 2010-2015 and Outcome 7 in UNDAF 2016-2020, as well as most of UNDP Outcomes, MDGs and SDGs at least in the last two decades in Uzbekistan. There are, however, no direct poverty alleviation measures nor direct link to other MDGS/SDGs envisaged in the LGSP Programme.

One of the priorities of the Uzbekistan Government is to reduce the subventions dependence’ of the regions, districts and cities.

The Strategy of Actions 2017-2021 sets the following priority actions for local governance and local development in Section 3.5:

“*Integrated and balanced socio-economic development of regions, districts and cities, their effective and efficient utilization:*

*To ensure the complex and effective use of natural, mineral and raw material, industrial, agricultural, tourism and labor potential of each region to develop socioeconomic development, increase the living standards and income of the population;*

*Accelerated development of districts and towns, minimizing the difference in the level of socio-economic development of the regions by expanding the scale of the modernization and diversification of the regions' economy, primarily by increasing the industrial and export potential;*

*Active involvement of urban small towns and towns through the creation of new industrial production and service centers, attracting large business associations' funds, bank loans and private foreign investment;*

*Expansion of the revenue base of local budgets through the [reduction of sub-urban and urban areas, possibly inaccurate trannslation], the rapid development of industry and services;*

*Creation of favorable conditions for the placement of industrial and other production facilities, further development and modernization of production, engineering, communication and social infrastructure of the regions to improve the well-being of the population.*”

**Gap Between MDGs/SDGs, UNDAF/CDP and LGSP Design**

LGSP falls in the Governance Outcome in UN/DP strategies. It is mainly measured by qualitative indicators that have no link to measurable MDGs/SDGs in other Outcomes. This way, the link to Poverty alleviation is lost, in the first instance. The evaluation has not been able to find any explanation in the project documentation for this departure from the core UN Development Goal, in the project that was supposed to ‘empower lives’ of the people in the poor regions of Uzbekistan through inclusive, effective and efficient democratic local governance.

At the national level, ‘governance’ involves a range of specific intervention areas, from judicial to local governance to human rights. However, measuring the Local Governance reforms only using the qualitative civil service/public administration reform indicators in fact, cuts off the whole area of Economic Governance and Indicators from effective design of the local governance and local development programmes and make them Activities-centered and Process-oriented vs. Result-oriented projects, with no clear indicators/targets.

It is a common place in the donor reports, including National MDG Report 2015 that Uzbekistan has made a great progress in the poverty level reduction from nearly 28% fifteen years ago to around 13% in 2015. However, the official poverty line is Uzbekistan is an equivalent of 2,100 Kcal per day. One should not be an expert in poverty alleviation to appreciate that if 14% of the population have to choose whether to eat every day or to buy some clothes or pay utility bills that IS the extreme poverty.

The World Bank’s $1.90 poverty measure status has been unknown since the latest survey in 2004 (when it was 67%). If it has been falling down at the rate of the official poverty, it is now around 35%. The $1.25 measure would then be 46% of the population (52% down from 88%).

According to HDR 2016, “Uzbekistan’s HDI for 2015 was 0.701. However, when the value is discounted for inequality, the HDI falls to 0.590, a loss of 15.8 percent due to inequality in the distribution of the HDI dimension indices”. The Multidimensional Poverty Index has not been measured by UNDP since 2006 in Uzbekistan when 2.6 million people were multidimensionally poor, with 36.6% intensity.[[28]](#footnote-29)

The rural poverty is much higher than the urban poverty. “*As of 2013, about 16 per cent of people in Uzbekistan lived below the national poverty line, 75 per cent of whom live in rural areas*”[[29]](#footnote-30).

Hence, the poverty problem has hardly been resolved in Uzbekistan and it presents a major obstacle for local and national development. MDG1 and SDG1 have not been directly addressed by UNDP’s Local Governance and Local Development Programme, its impact and effectiveness might be highly questionable.

LGSP-2 reports 2016 attempts to link the activities implemented to SDG 16: P*romote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels* - irrespective of the Prodoc’s RRF which is a very welcome development. However, one of the key indicators of SDG 16 –“*16.6.2 Proportion of population satisfied with their last experience of public services*”[[30]](#footnote-31) was not used nor measured.

Other applicable indicators include:

*“16.7.2 Proportion of population who believe decision-making is inclusive and responsive, by sex, age, disability and population group”*

*16.5.2 Proportion of businesses that had at least one contact with a public official and that paid a bribe to a public official, or were asked for a bribe by those public officials during the previous 12 months*

*1.4.1 Proportion of population living in households with access to basic services*

*1.a.2 Proportion of total government spending on essential services (education, health and social protection)*

*6.1.1 Proportion of population using safely managed drinking water services*

*7.1.1 Proportion of population with access to electricity*

*11.1.1 Proportion of urban population living in slums, informal settlements or inadequate housing*

**Activity-centered vs Result-oriented LGSP**

The lack of the result orientation in LGSP-1 was noted in its Final Evaluation Report, November 2013 and emphasized across all UNDP Outcomes in the Mid-term Evaluation of CAP in December 2013:

*“Relevance could be increased even further, if UNDP could clarify the results framework and elevate its efforts in this field from an activity-centric project-focused approach to a more results-oriented programme approach…There is a need for a more consistent, programme-based rather than a project-focused approach, and room for improvement in terms of results-based management overall, and M&E, in particular.*”

“*The tension between the relationship- and process-centred nature of the CPAP and the requirements of results-based management is evident throughout.”*

**Project Strategy**

Due to separation of the Governance outcomes from other Outcomes, MDGs/SDGs, the LGSP Outcome and Output had the same wording for both phases Project Documents:

UNDAF 2010-2015 Outcome: “*Effectiveness, inclusiveness, accountability of governance at the central and local levels enhanced*”;

Expected CP Outcome: “*Strengthened public administration at all levels that exercises efficient, accountable and inclusive governance*.”

Expected Output: “*Strengthened Government and Parliamentary capacity (legislative, representative and oversight functions) at national and local levels to execute public administration in a more transparent, equitable and efficient manner*”.

UNDAF 2016-2020, Outcome #4: *“Effectiveness, inclusiveness, accountability of governance at the central and local levels enhanced*”, and the UNDP Country Programme Outcome 3.2 “*Strengthened public administration at all levels that exercises efficient, accountable and inclusive governance*”.

The overall comment to the Result Framework format is that 1) there is a significant confusion between actions, activities, inputs, outputs and outcomes that, in itself unfortunately results in reduced projects effectiveness; 2) placing the high level outcomes and outputs at the same level with activities creates an impression that activities have the same weight as outcomes and outputs. It is advisable for UNDP to first concentrate at the outcome and output level with the relevant indcators to measure the progress against those, and less on activities that could be only indicatively developed at the design stage and should be subject to felxible chage during the implementation in the constantly changing context.

**Baselines**

Some of the LGSP-1 baselines were clearly defined in Prodoc’s RRF, e.g. “1.3 In executive power authorities men constitute 96.6% and 3.4% - women”, while most of the baselines rather represented subjective opinions and/or assumptions., e.g. “1.1 There is generally insufficient understanding of the concepts of local governance, and progressive ways of public administration”. They could not be used for benchmarking the reforms progress supported by the project. Some of the baseline create an impression that the governance reform in Uzbekisan only started in 2010 (which is not true -tthe public administration/civil service/local governance reforms had been at least declared by the Government in all its policies and supported by UNDP and multiple other donor activities since the very Uzbekistan’s independence in 1991).

The project was designed to improve the efficiency of the internal processes and the public services provided by the pilot khokimiyats, inter alia. However, no baseline study was conducted to determine the list of procedures//processes/services, the time and cost required to implement them before introducing the electronic systems and One Stop Shops.

The LGSP-2 baselines have the same baselines deficiencies as LGSP, partially because even the available progress indicators were ignored by LGSP-1.

**Targets and Indicators**

In spite of lack of clear baselines, LGSP Phase 1 attempted to introduce quantitative indicators to measure the progress of outputs:

*“Percentage of women in the civil service at the local level holding executive positions”*

*“Number of main partners and their contribution to the reform process”;*

*“Number of OSS users”;*

*“Number of abolished government functions”;*

*“Number of laws revised, abolished, and newly drafted”;*

*“Number of citizens/media requests fulfilled”;*

*“Percentage of government business handled electronically”;*

*“Number of officials trained”;*

*“Number of NGOs and businesses involved in public-private dialogue”;*

*‘Number of new businesses established”, and*

*“Number of Public-Private Partnership projects launched.*

The progress on the LGSP-1’s six project components was not measured using the Prodoc indicators (see LGSP-1 Final Project Review Report, December 5, 2013 approved by UNDP and NPC). Regrettably, this was not noted by the LGSP-1 Final Evaluation. The evaluator even criticised the “Number of Partners” indicator as irrelevant to the project (while it was actually MDG 8).

The World Bank’s Doing Business presents a clear methodology of how the public services efficiency and effectiveness can be measured, e.g. time, number of procedures and cost for Starting Business. This methodology is used by the UNDP Business Forum Project. A similar methodology could have been used by LGSP to establish the baselines and indicators to measure the progress against.

As a result of no measured results of LGSP, it was also difficult to establish measurable baselines for LGSP-2. The RRF suffers even from more deficiencies in baselines and indicators as LGSP-1. The few measurable targets in LGSP-2 have again not been monitored nor reported against:

*“1.3 The number of user/clients (men and women) and companies using One-Stop-Shops and other e-services of local governments; the number of public services transformed into e-services”;*

*“2.1 The number of initiatives taken by local authorities for additional income generation”;*

*“3.1 The frequency of public events/consultations to inform local government decisions; the quantity of feedback received from public”;*

*“3.2 The number of documented tools for the performance of public oversight, representative and rulemaking functions, fulfilled by Kengashes in cooperation with local stakeholders.”*

The progress against other (qualitative) indicators and targets are also not reported against in LGSP-2 or reported in the long list of ‘Activities’ column in the progress reports some of which could have contributed to the Targets or even Outputs.

For reasons not explained to this evaluation, both phases of LGSP did not report on the total number of people that directly benefited from project support nor the numbers by components disaggregated by gender and social groups.

**Outputs, Targets and Activity Results**

In the LGSP-1 RRF there were: 1 UNDAF Outcome; 1 CP Outcome Indicator; 1 Key Result Area from UNDP Strategic Plan ’08-11; 1 Goal/Output; 40 Annual Output Targets; 13 Output Baselines; 13 Output Indicators; 2 Components, 6 Activity Results (also titled Indicative Activities), 19 Actions; 41 Sub-actions; about 115 Inputs, 25 budget figures, around 20 Responsible Parties; 7 columns, and 10 pages – and no clear Project Results Column.

In LGSP-2 RRF there are: 1 CP Outcome; 3 CP RRF Indicators; 1 Key Result Area from Strategic Plan ’14-17; 1 Output; 8 Output Targets; 7 Baselines; 7 Indicators; 3 Activity Results (also title Indicative Activities); 6 Actions; 64 sub-activities; 25 Responsible Partners; 22 inputs; 4 budget figures; 12 pages; 5 columns – and no clear Project Result column.

The reduction of columns, Actions and Budget Figures in the LGSP-2 RRF was definitely a positive development in LGSP-2 RRF. Reduction of Result Areas seemed to have a good intention to focus the project but ended up with three very broad areas synonymous to the Outcome and Output and difficult to distinguish between the three. The reduction of baselines and indicators was a negative development in terms of the lost opportunity to measure the implementation progress. But once most of the quantity Indicators were neglected in the LGSP-2 monitoring and reporting, there was no added value to develop many qualitative indicators that are difficult to measure.

Clearly, it was difficult for the project team and UNDP CO to comprehend, monitor and manage the RRFs that was in effect an attempt to combine the project logical framework, annual plan and budget – three design and management tools serving different purposes in one.

It is probably because of the absence of clear result chain or logical framework, the LGSP-2 team kept working and presenting different sets of the Project Outputs/Components/Result Areas at every Inter-agency Coordination Work Group Meeting and in each report: 6 at the ICWG on 27.02.14; 3 at ICWG 24.11.16; 3 in the AWP and Budgets; 6 in 2014 Progress Report, 8 in 2015 and 2016 Progress Reports, and 3 in 2017 Progress Report.

Clearly, for the same reason is was around 250 LGSP-2 Activities were reported as Results in the 2014-2017 Result Framework dated 3 July 2017 without any explanation of how exactly these activities have contributed to the Project Output or Outcome.

Following are examples of the Outcome Indicators that should have been applied to the Local Governance Project: in the evaluation view:

“***Economic wellbeing: Indicator: Poverty and extreme poverty as well as inequality data disaggregated by gender, regions, rural-urban dimensions***

***Baselines (2007): Overall poverty—23.6%; Urban poverty—17.6%; Rural poverty—27.1%***

***Targets (2015): Overall poverty—14%; Urban poverty—11%; Rural poverty—16%”*** (UNDAF 2010-2015

“***Improving the efficiency of public spending to ensure sustainable socio-economic development of regions:***

***Indicator 1.6: inter-regional poverty rate disparities as measured by the ratio of the sum of the four highest oblast-level poverty rates to that of the four lowest (including for Tashkent city)***

***Baseline: 3,2 in 2013 г. Target: 2.4****”* (UNDAF 2016-2020)

It is not clear why Good Governance is only measured by Non-SMART process/relationship/activity-centered indicators and not people-centered ones, particularly at the local level. In many cases, it is the same agencies and the same people that are involved in both but reported differently. While the ultimate purpose of the Good Governance is improvement in people’s lives.

**Qualitative Indicators**

Depending on the development context, a particular policy/system improvement tool can be an interim result in itself, e.g. a law, a methodology, a strategy – but never the end development result because they are just the tools to achieve some development result for people.

Generally, the development of these tools is measured by process and/or input indicators and their impacts by Regulatory Impact Assessment or Result-oriented Monitoring and Evaluation tools based on SMART indicators and baselines.

A UNDP document obtained from Internet and titled “*UNDAF\_2015\_ENG\_Consoilidated\_Final.xls*” contains the following Guideline for reporting qualitative indicators in Uzbekistan:

|  |  |
| --- | --- |
| **“Guideline for reporting qualitative indicators** | |
| The way to report your progress | |
| when your target is “submission of draft law/introduction of system (scheme, etc.)” | |
|  |  |
| **The level of achievement** | **What have you done?** |
| 0 | Original condition, could be the baseline, where there is no concept codified in the national system. |
| 10% | Preparatory literature review done/ International experience studied |
| 20% | Consultations with the national/ government counterparts. Forming the expert group to develop the Concept of the Law/ new system |
| 30% | Concept of the draft Law or new system is developed/ publicly discussed and submitted to national counterparts |
| 40% | The Concept is finalized to reflect the comments received from partners. Expert group starts the preparation of the draft Law / formulation of the new system with the counterpart |
| 70% | Draft of the Law / system is completed |
| 80% | Public consultations are held to widely discuss the draft of the Law / new system |
| 90% | The draft of the Law/ new system finalized in line with comments received during public discussions |
| 100% | Draft is submitted to the respective Government body / System is introduced => target achieved |

It is not clear if the LGSP team was privy to this Guideline that would have helped both the team and the evaluator to expediently assess the interim reform tools progress.

**However, it should be noted that after the submission to “the respective government body”, the laws should be adopted by the Parliament and enforced, as well as the ‘systems’ must be approved and implemented. Thus, simply ‘submitting a “drat law or system” to the respective Government body in fact represents only 50% of the relevant reform implementation. Particularly, in the post-Soviet space where the best laws are often not enforced and the best intended systems at time create more problems for ordinary people than benefits without monitoring and corrective action**.

One example is many experiments with One-Stop-Shops in CIS, with some of those resulting in several new “One-Stop-Shops” in addition to the old twenty. In other words, the actual enforcement/implementation of the laws and systems should be monitored and adjusted before reporting 100% success. This is what LGSP has not done so far.

**De-facto LGSP Strategy**

The actual project strategy in both phases did not finally target the poor people nor entrepreneurs nor achievement of any measurable socio-economic results in the pilot regions. It targeted developing, testing and promoting a number of tools for local and/or national government that would potentially be scaled-up and incorporated in the national and regional policies, laws and practices. It is the tools that became and end in itself for this Programme not the impact they had on the lives of ordinary people for who the national and local governments provide services to.

The tools, once developed were delivered to the national level and dropped there without monitoring of their use during the testing stage nor after they were transferred to the Government or other UNDP projects.

**Relevance of Regions Selection**

As previously mentioned, the poverty dimension nearly completely disappeared in LGSP-2 (LGSP-1 at least mentioned the target of developing *pro-poor* services at the design stage).

There is little rationale or criteria available to the evaluation against which the pilot Djizak and Namangan regions were selected for LGSP Phase 1. The Project Document 2010 reads:”*it is suggested to select two subsidized regions with low index of human development: Djizzak and Namangan regions”*. However, there are regions in Uzbekistan than Namangan and Djizzak with poorer performance on HDI and level of subsidies as illustrated in the Background section). It is presumed that one of the criteria was relatively high levels of poverty in those regions. The rationale of the selection of the Tashkent region with much lower poverty rates for Phase 2 is unknown (See Figure 11 for comparisons of the Uzbek regions poverty rates).

Due to LGSP support, Tashkent region lead in open data national rating 2016 with over 250 datasets in 25 spheres published for open access (<https://data.gov.uz/ru/statistic/organization>). However, the successful current e-governance and Open Data reforms at the national level would probably be available to about 25% of the regional populations. The rural, poor and elderly have not yet benefited from the e-reforms.

**Figure 11. Poverty Rate by Region of Uzbekistan, 2004-2012, %**

*Source: National MDG Report 2015, State Statistics Committee of the Republic of Uzbekistan*



## 3.2 Effectiveness

**Master Question: Progress Towards Results: To what extent have the expected outcomes and objectives of LGSP been achieved thus far?**

TOR: “***Particular emphasis should be put on the project results, the lessons learned from the project and recommendations for the follow-up activities.***

*Project outputs, outcomes: The evaluation will assess the outputs in relation to the Country Program outcomes, achieved by the project as well as the likely sustainability of project results. This should encompass an assessment of the achievement of the immediate objectives and the contribution to attaining the overall objective of the project.*

*The evaluation will also examine if the project has had significant unexpected effects, whether of beneficial or detrimental character.*

*What are main outputs and outcomes of the project?*

*Measurement of change: Progress towards results should be based on a comparison of indicators before and after the project intervention.*

*Has project contributed to establishment of efficient national institutional frameworks for promotion of local governance and decentralization reforms. delivery of public services. improvements in regional development planning and implementation, promoting transparency and accountability in local authorities?*

*Has the UNDP partnership strategy been appropriate and effective?*

*Has awareness on local governance and decentralization reforms, increasing transparency and accountability of local governance bodies. e-governance, improving the effectiveness of local representative bodies (Kengashes). regional development in general and among stakeholders been increased?*

*Has attention of stakeholders to local governance and decentralization reforms, increasing transparency and accountability of local governance bodies, improving the effectiveness of local representative bodies (Kengashes), regional development increased and has it been reflected in concrete actions?*

*Has capacity of local governments in pilot regions been increased in terms of: regional development planning, local partnership building; resource mobilization skills; self-advocacy skills?*

*Has implementation of public administration reform, e-governance and decentralization initiatives improved?*

**Results at the Outcome and Output Level**

As follows from the LGSP-2 Project Document 2014, the main goal/output of LGSP-2 is  **“*Strengthening local governance at regional and district levels to ensure accountable, inclusive and equitable local development*.”**

**The qualitative evidence suggests that the Project Output has been partially achieved: the local governance has become more transparent and equitable.**

The LGSP Programme has not been linked to concrete and measurable MDG/SDG indicators nor to any Uzbekistan strategy indicators. No baseline assessment was conducted at the design stage against which the progress at outcome and output level could be conducted. The LGSP-1 evaluation was based on the process rather than results. The baselines for both LGSP-1 and LGSP-2 are mere assumptions of the designers or simply background sections. This posed a significant challenge for this evaluation for the only way to assess the outcome/output results was to evaluate the assumptions made at the design against the overall evidence of the progress of the local governance reforms by the time the LGSP Programme started – from other than LGSP sources - and by the time the LGSP will end in 2017 and then try and establish the attribution of various activities carried out by LGSP to the overall progress of the reforms.

Based on the in-country interviews and study of over 1000 government, NGO and donor documents, the evaluation has observed that the face of the **governance in Uzbekistan has generally improved in the last three to five years with the Open Data policies, President-People Dialogue portals, One-stop-shops and e-governance-services reforms**. LGSP contributed to improvements in these areas in collaboration with other UNDP projects and the government. However, no data have been made available to the evaluator on how many people benefited, what services and to what extent have been improved (nature, number, time, costs, procedures), how many people received the information and/or resolved their grievances through the Open Data portals.

**With the significant progress on the government openness, there has not been any significant progress achieved in the decentralisation and local governance reform**. The Local government laws have not been amended or adopted. The regions still cannot make any budget, economic or social decisions without the central government’s approval. The khokims still accumulate the executive and legislative powers. There are some steps to make the local Kengashes operational through hokimiyats’ budgets and reports hearings, however, they still report to local khokims and do not have any real power to revise major decisions and/or remove ineffective governors. There is still a long way for NGOs to become independent and be involved in local governance. Business seems to be more empowered and could potentially change the way the decisions at the local level are made. LGSP has put a lot of effort into the Local Governance Law.

There are no clear baselines nor indicators in the LGSP-2 RRF against which the achievement of the overall programme output could be measured.

In the RRF’s Output Targets and Indicative Activities, it was specified that the project was to develop, scale-up and offer to the Government **the tools** for “*strengthening local governance at regional and district levels*” and “*ensuring accountable, inclusive and equitable local development*”.

There was no clear justification why specific tools were selected for piloting within LGSP-1 from many other available, why some of the same tools were chosen for LGSP-2 without assessment of their effectiveness, and why some of the tools were dropped in the course of the LGSP-2 implementation (e.g. OSS).

Some of the tools were piloted in Phase 1 of LGSP: e-Government; One-Stop-Shops, Local Government Information Services (LGIC), Functional Analysis, and Regional Development Strategies (RDS). For the sake of the overall effectiveness assessment and because it is at times difficult to exactly identify which of the related activities were implemented at the Phase 1 and Phase 2, their overall progress and results are assessed under the LGSP-2 component headings.

1. **Activity Result No 1. Reforming the system of public administration and strengthening the administrative capacity of local authorities and management**

**Baselines and Indicators:**

**Baseline 1.1: Nether central nor local authorities have methodologies for streamlining service delivery at the local level; the out-of-date law ‘On Local Government’ precludes local results-based governance and sustainable development**

The first sentence suggests that LGSP-1 achieved no results – this is due to lack of RBM at Phase 1. The second sentence incorrectly suggests that a new Law on Local Governance will automatically improve the government practices.

**Indicator 1.1: The government is provided with methodology/policy options for the functional review of the streamlining of public services delivery as an institutional aspect of civil service reform, and the decentralization//deconcentration of powers between central and local level authorities; The government is provided with a comprehensive concept of administrative decentralisation, and recommendations on Law ‘On Local Government’.**

The indicator in fact contains two outputs of the project: functional review and concept of the administrative reform.

Evaluation comment: Baseline 1.1 is a subjective assumption of a project designer who simply ignored or was not familiar with in Uzbekistan since 1991 independence. In fact, there have been USD billions spent on developing and testing various methodologies for streamlining public service delivery, decentralisation and local governance by UNDP and other donors. The recent examples include LGSP-1, BFU, IFC, WB, EU, all PRSPs, WIS and many other. It has been rather lack of political will to start the real decentralisation than the lack of tools.

The “Local Government Law’ *is* outdated (depending, of course, on the actual intentions of the new power). However, even a perfect law will not guarantee an RBM culture. It should be developed through real accountability to public and RBM training. UNDP project should shown an example of RBM that has not happened in this project. In any case, if the Law is adopted its implementation will require a thorough monitoring and public reporting on the progress. The ‘sustainable development’ is usually broader than what a Local Government Law could regulate. No single law is a panacea for equitable, inclusive, accountable and sustainable local development but a useful tool and ingredient of a broader reform.

The baseline should have established what public services are provided at the national and local levels, are they in line with the Country Strategy, which are redundant, which are missing and which could be transferred to the local level and/or *what sets of/how the government functions are duplicated, which are redunant and which are to be developed. The indicator should be which function/how many will be transferred to the local government, which/how many would be eliminated/reduced; what will be added (if any*). A baseline survey should be done to identify the functions to inform the project design.

The Concept of Administrative Reform should be based on a clear baseline based on the strategy and clearly formulated targets.

The indicator contains several tools that are not formulated in an inclusive way. UNDP is not ‘to provide’ but to support the reforms as a partner. Otherwise, there is no ownership and the reform tools will not be used and will be again forgotten.

Judging on the Activities Commlumn in the RRF, the functional analysis was planned to be a part of “*Streamlining of the Multi-channel delivery of local public services, in cooperation with national and regional partners, in three cities*” (Prodoc, p 14)

**Development Results of the Multi-channel Services Delivery and Functional Review**

1. **One-stop Shop (OSS)**

OSS is presented in the LGSP/UNDP reports and media article as one of the key results of LGSP-1. It was piloted in Djizzak and Namangan khokimiyats as a dedicated physical centre for a number of general public services. At the pilot stage in 2010-2013, OSS mainly provided information and photocopying services. The final evaluation 2013 noted the model was struggling with the demand and sustainability. LGSP-1 did not measure the progress of the OSS, the number of its clients, types of services, gender, satisfactions levels, thus missing an opportunity to establish both the baselines and inform the public service reform.

In parallel to the LGSP OSS, a separate UNDP Business Forum (BFU) Project was developing OSS for entrepreneurs.

General pubic service OSS continued in Djizzak and Namangan in 2014. In 2015, all regional and district OSS were transformed into OSS for entrepreneurs by the government resolution effective from 2016. After that, LGSP-2 issued methodological guidance to support the transformation, a one-time report on potential challenges of the new OSS and **completely abandoned the OSS and multi-channel public services** bloc of activities (Prodoc 14-16, Indicative Activities).

On the one hand, it seems logical to delegate the SME public services to the project specialising in this area. On the other hand, the project titled “Local Governance Support” simply did not deliver the analysis and support to improve the delivery of something like 90% of public services to ordinary people who are not involved in entrepreneurship. It is clearly a missed development opportunity.

That said, services to entrepreneurs *are* public services. BFU was not operational in the Djizzak, Namangan and Tashken regions LGSP could have monitored the new OSS to measure their effectiveness and derive he lessons learnt for the functional analysis. The lessons learnt from the past have been that the OSS reforms declared at different stages of Uzbekistan development did not finally achieve the intended result, e.g:

“*In 2001, the Government of Uzbekistan attempted to introduce legislation to create a ‘one stop shop’ to make the company registration process easier. These ‘one stop shops’ are located in the local government offices (Hokimiyats) throughout Uzbekistan and have reportedly improved individuals’ abilities to form new businesses. However, even with the new regulations, businesses discover local and federal regulatory roadblocks that force them to continue the bureaucratic process at a minimum of 5-10 locations.”[[31]](#footnote-32)*

In February 2017, OSS were transferred from local khokimiyats to the Republican Ministry of Justice. There remains concern if MOJ is sufficiently empowered to coordinate OSS with other government agencies involved and effectively streamline the services through OSS. This development is also a step back from the local governance reform and should be closely monitored, as well as whether general public services would be provided to the people through OSS at any stage.

At the same time, LGSP significantly contributed to the promotion of the concept of OSS in the mass media and with the national government as evidence in more than 1000 publications and Minutes of the Inter-agency Working Group.

**Conclusion: The OSS and multi-channel public services component have not achieved the intended development results/Activity Result 1 in terms of analysis, implementation and outreach to direct beneficiaries. It remains a major untackled area for the Government and donors, particularly for those poor and disadvantaged people that are not covered with e-governance reforms.**

1. **Functional Review (FR)**

LGSP attempted a functional review of Four Public Service during Phase 1. The government was not yet ready for the exercise and provided negative comments to the review, It is crucially important that the tools like functional review are implemented in organisations that *want change*.

The functional review of the Ministry of Labour and the Tashkent Regional Administration in 2015 seem to have been more welcome and participatory. The results of the review in MOL are not available. The report on the Tashkent Region Functional Analysis used a methodology offered by an international expert, identified over 800 functions, and about 25% of redundancies and functions duplicated with the central authorities and other departments/khokimiyats. It is interesting to note here that there are also “nesvoistvennye” (not typical for government)” functions identified – this very much depends on the country strategy – many governments in the world choose not to be directly involved in the economic activities, while in Uzbekistan it is a normal practice. Thus any functional analysis to a great extent depends on the government strategy and mission and should start from there.

Whether the President was made familiar with the Tashkent region functional analysis report, on 20 July 2017 he issued a Resolution on the Tashkent Region[[32]](#footnote-33) to the following effect:

* *“Reorganising the administrative division in the region, with a new capital in Toytepa (now Nurafshon), adding one new district and assigning the regional subordination of Toytepa, Akhangaran and Yangiyul towns;*
* *In the structure of the khokimiyat of the Tashkent region, the position of the first deputy governor for the development of urban infrastructure, improvement and communal services was introduced.*
* *In the khokimiyat, the Tourism Development Department has been established with a staff of 35 from among the staff of financial, tax and economic bodies to be reduced. In addition, the secretariat of the deputy hokim for tourism development is strengthened by 5 additional staff units. The new department is subordinated to both the khokimiyat and the newly established Information and Analytical Department for Tourism Development of the Cabinet of Ministers of Uzbekistan.*
* *The resolution established the republican commission for the effective use of previously privatized and unfinished facilities and unused production areas headed by Prime Minister Abdulla*
* *The activities of khokimiyats of Kibray, Zangiatin, Yangiyul, Chinaz and Tashkent regions on the cultivation, processing and export of fruit and vegetable products will be coordinated by Ulugbek Rosukulov, Deputy Prime Minister and Chairman of the Board of Uzavtosanoat.”*

Possibly a ‘transition measure’, but the Resolution clearly demonstrates that if the LGSP functional review helped to reduce the redundant staff and duplicative functions, the President immediately created several functions and departments that have double subordination to the central and khkomiyat government, with clear duplication of functions, thus perpetuating the existing practices.

On I July 2017, LGSP was requested by the Academy of public Administration to be part of the Functional Analysis group for selected districts in the Tashkent Region and Andijan region. It is a positive sign that LGSP is recognised as having expertise in FR, but it was not explained based on what criteria the regions were selected and why LGSP was going to be involved in Andijan activities while FR of the official pilot regions Djizzak and Namagan was not carried out five months before the project end.

Another positive development is that APA seems to be in the process of development of the local capacity for FR, within the existing institutions (Centre for Economic Research, APA).

Similar to OSS, LGSP carried out a good media campaign and promoted the tool at the Inter-agency Working Group.

**Conclusion: So far, the Functional Analysis has brought mixed results, expect for reintroducing the potential of the FR tool (that was, in fact implemented by First President in 2004 and was again promoted in WIS 2008).**

It should be noted that there is no single FR methodology that would be good for all countries. It is crucially important that the FR should adjusted to the local strategies, conditions and reality. The new ‘methodologies” should be assessed not by their availability but on how they are implemented (process and ownership) and people-centred results.

**Baseline 1.2 In the absence of civil service reform, there are few opportunities for local civil servants to improve their performance.**

The baseline is vague and does not describe what opportunities existed prior to 2014 to compare the progress with and what exactly aspects of the very broad Civil Service Reform should have impacted the opportunities. The Civil Service Reform was targeted through multiple activities of LGSP-1. It is not clear why LGSP-2 does not acknowledge the LGSP-1 achievements nor builds on the lessons learnt.

**Indicator 1.2 Curriculum development at the Academy of Public Administration extended to local governments.**

The Civil Service Reform is ongoing in Uzbekistan. Ideally it should be further developed in a single Civil Service Coded or Law. The APA, BFA and other training institutions have been providing training and education services, mainly for civil servants and state enterprise managers for decades. MOF has a Training Centre.

The curriculum assessment of APA and BFA with whom LGSP-2 has cooperated was not available for the evaluation. Several training courses were produced by LGSP that are of reasonable quality. It is not clear based on what criteria the courses themes were selected. Both BFA and APA expressed the need to develop further courses.

The e-portal of APA max.dba.uz seems operational. However, the materials are only available in the Uzbek language. The evaluation did not have the capacity to assess the e-portal. There is not progress reported by LGS on how the local government officials can get access to the portal and what courses are available/at what cost. It is presumed that UNDP-funded courses should be free of charge.

It is not clear how many local government officials or NGOs had access to the APA and BFA training courses and e-learning portal. The people met during the country visit did not report any experience using these services. Thus, it is not possible to assess this activity. Generally, it seems a stretch of the limited resources of LGSP and requires a separate project systematically developing both the administrative, training and technical capacity and the training institutions and development of the respective policies.

The positive development is that APA is used as an expert organisation to develop the reforms analyses and proposals, and the platform for public discussions f=of the reforms.

**Baseline 1.3 Public access to e-government services is limited at local level.**

The baseline does not specify what ‘limited’ means, therefore it does not provide the basic parameters (e.g. types of services, number of people using them, satisfaction levels) to measure against.

**Indicator 1.3 The number of users/clients (men and women) and companies using One-Stop-Shops and other e-services of local governments; the number of public services transformed into e-services.**

There is no assessment in Baseline 1.3 of what share of urban and rural population had access to physical OSS services. It is presumed ‘OSS *and othe*r e-services’ was a mistake for OSS predominantly physically provide services. There is no assessment of how many people and Internet and e-services in the three pilot regions in 2014. Without clear numbers and/or percentages, the baseline is useless. E-government is a good tool used to improve the efficiency of the public services (not effectiveness).

Indicator 1.3 is robust and satisfies SMART principles, except for the missing indicator of “population satisfaction levels”. It is regretful it was not used neither by LGSP-1 nor LGSP-2.

**E-governance**

Uzbekistan has made an impressive progress in e-governance, e-services and e-transparence of the government, including Open Data. LGSP reportedly contributed to this reform through developing the software solutions, introducing and training on e-hujjat systems in Djizak and Namangan (LGSP-1) and Tashkent region (LGSP-2).

The LGSP effort were primarily focused on the internal electronic document systems development rather than electronic services to the population. The LGSP Annual Report 2014 reported the number of documents processed within the two regions e-hujjats. However, it is not possible to assess this achievement without a clear quantitative baseline.

Unfortunately, LGSP did not measure the effectiveness of the document systems on the pilot regions at the beginning of LGSP-1 not LGSP-2. The pilot khokimiyat officials interviewed during the in-country visit only referred to the ‘*improved capacity to process documents from more budget organisations in certain periods of time and by the same levels of staf*f”.

A positive development is that LGSP-2 conducted needs assessment in 18 Tashkent region khokimiyats to define the necessary support.

It should be emphasized that the transfer of the existing services, documents and decision making is not a substitute for the administrative reforms. On the other hand, there is an anecdotal evidence that some of the procedures/process are ‘optimised’ through Business Process Reengineering.

UNDP is supporting a separate e-governance project that is providing assistance to the Government e-governance Centre. The project has been recently evaluated but the report was not made available to this LGSP evaluation. The evaluator attempted to directly obtain the results of the e-governance support but the measurable results were not available.

The reports of monitoring of e-hujjat systems in the pilot regions envisaged in the Prodoc, p14 were not available to the evaluation.

The has not been a study conducted of what social strata in Uzbekistan have and are projected to have access to Internet and to e-services. The evaluation can only assess overall access There is a significant risk that the government will ignore the needs of public services for poorest and most vulnerable population, particularly in the rural areas.

**Conclusion: LGSP has provided the contribution to the overall and regional e-governance reform that is difficult to measure in the absence of clear people-centered indicators and targets.**

**Concept of Administrative Reform**

The Concept of Administrative Reform was developed based on the LGSP recommendations and published for public consultations on <https://regulation.gov.uz/ru/documents/1596> for six days in 23-29 August 2017. The Concept contains the key democratic principles of government administration and basics for liberalisation of economy. The implementation of the Concept will require at least USD 100 million and at least five years of implementation.

The time for public consultation (six days) and publication only in Russian are in contradiction to the very spirit of the Concept. It is unusual that the reform was initiated by the Chief Prosecutor’s office and not by the Parliament.

In case the Concept would be approved by the President, it will be in stark contract with some of the government resolutions issued under new leadership within the last 12 months. The President’s Resolution on Priority Measures for Advanced Social and Economic Development of the Regions of 8 August 2017 is a combination of the ‘manual’ administration and democratic governance measures.

The paradox is that the President aims at achieving a ‘quick fix’ of the problems of the people in the regions, districts and mahallas. However, it is impossible to resolve the local issues without the participation and contribution of the people themselves, and the truly democratic reforms will take time.

It is only actual implementation and public monitoring of the reform components that can show the development value of the reform.

**Activity result No 2. Empowered local governments for equitable development/ local accountability, and for better quality and transparency of financial management regarding the planning and performance of local budgets.**

Once this Result includes regional strategies and public finance management, it would be necessary to add: “empowered local governments, civil society and business”.

**Baseline 2.1 Highly centralised fiscal and public finance management does not empower local governments to seek additional sources of local revenue generation for equitable development;**

**Indicator 2.1 The number of initiatives taken by local authorities for additional revenue generation, in collaboration with local stakeholders**

**Baseline 2.2.Planning strategy for the cities are sector- based, with a predominantly narrow focus on economic development**

From the development perspective, it would have been more relevant to establish a baseline based on the poverty levels in the selected pilot regions and low participation of the population in the development of the regional strategies.

The development theory and practice require that Regional and Local Development Strategies should have public finance as one of the Strategy components.

Technically, LGSP contributed to developing capacity of the Namagan city to develop mid-term budgeting and slight increase of the locally managed budget through fines and penalties of the court and police systems in the pilot regions. However, the development results can only be assessed based on how the extra or better planned budget have improved the services and/or welfare of the population. This assessment is not available.

**Indicator 2.2. The availability of cross practice Local Development Strategies (LDS) for cities (discussed and adopted in consultations with CSOs, the private sector and with citizens);**

LGSP supported the LDS development in a number of districts and cities of Namangan, Djizzak and Tashkent regions. The project reports that over 1000 public consultations have been held through the meetings with business and NGOs and at the same time, the ‘’low participation of civil society and entrepreneurs” were noted in the reports. (Progress Report 2015, pp 6 and 8). It is not clear how the project addressed the issue of the low participation after 2015, particularly that LGSP is currently in the process of developing new local strategies for the period of 2017-2021.

It is important because the degree of the public participation and the mechanisms of the public involvement are they key criteria of the quality of the LDS. The participation and ownership are even more important than the quality of the analysis and planning because they ensure the implementation, monitoring and corrective action, as well as desire and commitment to achieve common objectives.

**A mere ‘*availability*’ of LDS, particularly developed by external consultants has zero development value**. Particularly that the LDS available for the evaluation did not have Implementation Plans not clear measurable indicators of achievement. The development success of LDS should be measured by the achievement of the LDS objectives based on the indicators, e.g. “poverty reduction in Djizak from 30% to 10% by 2021”.

The LDS methodology developed with support of the project provides a good basis and tools for further adaptation for the Uzbekistan needs and realities. The adapted methodology should also address how the ‘complex territorial development strategy” will coordinate with the existing sectoral programmes.

**Activity result No. 3. Increased democratic accountability and openness of local executive and representative authorities, as well as active public participation in local decision-making**

The public participation should be one of the key activities in each of the Result Areas. To some extent, it was addressed in the LDS development in Activity Result 2. It should be noted that LGSP did not provide support to the local self-government councils (mahallas).

**Baseline 3.1 The public has a limited voice in local government decision- making**

The baseline is not clearly defined. It would be fair to state that the public had zero participation. It is only some selected government-funded NGOs who formally participate.

**Baseline 3.2 Kengashes have limited capacities to effectively carry out their oversight, representative and rule-making functions, in partnership with local stakeholders.**

Relative to the nominal role the local Kengashes used to play in the local governance priori to LGSP, the project has been successful in identifying the procedural and capacity gaps of Kengashes in the pilot regions and provided extensive support to increase the transparency, efficiency and involvement of Kengashes in the local decisions (e.g. review of budgets, reports on the socio-economic regional development). These functions had been granted by the Constitution and laws but not enforced.

There is an indication from the recent government rhetoric that empowerment of Kengashes will be a priority (e.g. resolutions in July and August 2017 on local development and establishing district Kengashes in Tashkent where they did not exist before).

However, this Result has been only partially achieved because the separation of executive and representative powers have not yet taken place and Kengashes still report to local khokims. It is anticipated that the Law on Local Government that LGSP separating the powers has been promoting for the last eight years will be finally adopted implemented by end 2017.

The new Administrative Reform Concept presumes that direct involvement of the President and Central Government in the local kengashes and government decisions will also be significantly reduced.

**Indicator 3.1. The frequency of public events/consultations to inform local government decisions; the quantity of feedback received from public**

The Tashkent, Djizak and Namangan Region Kengashes regularly publicize the information about the Kengash sessions, committee’s activities, information on elections, deputies, events and decisions.[[33]](#footnote-34) The feedback of the public is not easily identifiable on the websites and there are no numbers or analysis of feedback available in the project progress reports.

The project helped establish six Information Services in the pilot khokimiyats that have been incorporated into the full-time staff structure of the khokimiyats. The filed visit has confirmed their operations and websites. However, the media plans and two-way communications with the public analyses are not available for the evaluation

**Indicator 3.2. The number of documented tools for the performance of public oversight, representative and rulemaking functions, fulfilled by Kengashes in cooperation with local stakeholders.**

The total number was not available for the evaluation. The tools include websites and Open Data, ‘townhall’ meetings; proposed kengash and committee’s operational guidelines and sessions planning and support.

**Women Empowerment**

The total number of beneficiaries was not reported by LGSP. The manual extraction of the numbers from the Annual Progress Reports yields between 13,000 and 15,000 of all training, discussions and other activity participants. The beneficiary data were only partially disaggregated by gender. The disaggregated data suggest women participation of around 18%.

There are no baselines of women participation in the LGSP-1 nor LGSP-2 in the pilot regions. The official government websites and Committee of Women of Uzbekistan report an increase of women in the government from 3.4% in 2005 to 20% in 2015, and 23.5% in local kengashes in 2015.[[34]](#footnote-35) The Functional Review of the Tashkent Region 2015 reports 9% of women working in the khokimiyat, with two women in management positions.

LGSP addressed the issues of women employment in the government as part of the preparatory Civil Service reforms documents. However, many of the analytical documents do not even contain the word “woman”, notably the Local Development Strategies developed by the project (while the LDS methodology addresses the gender aspects of strategic planning).

The current levels of women employment in the pilot governments, kengashes, private and state enterprises, and NGOs is unknown.

*“In Uzbekistan, non-governmental organizations in these matters are very hesitant, inconsistent, and they are limited in capacity due to lack of funding. For example, in the neighboring Kazakhstan there are 2,500 women's non-governmental organizations, in Uzbekistan - only 210. The Women's Committee of Uzbekistan is de jure considered a non-governmental organization, and is engaged in the protection of women's rights in the work and family spheres, although, de facto, this is certainly not the case. Therefore, the status of this organization requires revision long ago. It would be logical to transform it into a state structure - the State Women's Committee or the Ministry of the Family, which would greatly enhance the political and administrative weight and capabilities of the Committee in promoting gender equality in Uzbekistan.”[[35]](#footnote-36)*

It is also not reported whether women participation in the local activities has increased in the course of the project. New approaches to women involvement have not been reported.

**Conclusion: The women participation improvement can be potentially achieved when the Civil Service Reform is implemented and the overall culture would be more women inclusive. However, LGSP has not achieved this development result.**

## 3.3 Efficiency

**Master Question: Project Implementation and Adaptive Management: Has LGSP been implemented efficiently, cost- effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project’s implementation?**

*Questions from the TOR:*

*“Implementation: The evaluation will assess the implementation of the project in terms of quality and timeliness of inputs. efficiency and effectiveness of activities carried out. Effectiveness of management. the quality and timeliness of monitoring and backstopping by all parties to the project should also be evaluated. In particular, the evaluation is to assess the Project team's use of adaptive management in project implementation.*

### *Project's Adaptive Management Framework:*

Monitoring Systems

* + Assess the monitoring tools currently being used:
  + Do they provide the necessary information?
  + Do they involve key partners?
  + Are they efficient?
  + Do they encourage disaggregation of data (by sex, region. age, education)?
  + Are additional tools required?

**Overall Project Efficiency**

As a clearly activity-focused project, LGSP-2 demonstrated high level of quality, cost-efficiency and timeliness for over 250 types if activities implemented (except for the activities in Result Area 1.1. One-stop-shops and streamlining of the multi-channel delivery of local public service as further evidenced).

The following factors and practices ensured the efficiency of the activities:

* Highly qualified team of legal and economics experts with background in the Uzbekistan civil service and good understanding how government reforms work;
* Ability to deliver within limited and/or uncertain funding situation with high quality;
* Good selection and synergy of international and national expertise;
* Annual Work Plans of work with partner Khokimiyats and the Academy for Public Administration (APA) jointly developed with and formally approved by the partners.
* Successful establishment and support to the Inter-agency Working Group at the Cabinetof Ministers that started in LGSP-1 and continued in LGSP-2 providing a platform for project outputs and progress discussions and political support;
* Excellent capacity to organize project events and awareness campaigns;
* Support from the UNDP CO.

**Summary of activities progress as per LGSP-2 Prodoc 2014 p. 13 and RRF:**

**Table 5. Project Activities Progress**

|  |  |
| --- | --- |
| **Activities Fulfilled/Partially Fiulfilled** | **Status** |
| Proposals regarding the Law “On local public authorities | Fulfilled, the Law is expected to be adopted by end 2017 |
| Proposals to the Budget Code in order to improve the quality of finance administration and increase the income on a local level | Partially fulfilled |
| Draft Decree of the President of the Republic of Uzbekistan on One Stop Shops (OSS) and OSS functioning sustainably in the pilot regions | Fulfilled (in cooperation with UNDP BFU and E-government Projects) |
| Proposals about the development of entrepreneurship, enhancing the attractiveness of regions for foreign investors, as well as optimizing tax burden on individuals and legal entities | Partially fulfilled in the part of optmizing the tax burden (unified social payment) and Regional Development Startegies SWOT |
| Draft legal acts, provisions on openness of admission to the vacant civil servant positions, as well as provisions on introducing the system of performance assessment of civil servants | Fulfilled, to be used as part of the future Civil Service Reform |
| Methodology/ options of proposals for vertical functional analysis of public services | Partially fulfilled (for Tashkent Region) |
| Reports on local multichannel public services | Partially fulfilled; Delegated to E-Goverment and BFU projects |
| Strategies of local development for Djizakh and Namangan cities | Fulfilled, aslo strategies forTashkent Region, Zafarabad and Kibray districts |
| Evaluation report on "e-Hujjat“ functioning in 20 khokimiats of Tashkent region | e-Hujjat reported operational, evaluation report not available |
| Evaluation reports on increased efficiency of regional Kengashes of people’s deputies, as well as of Djizakh and Namangan cities | Empowerment activities reported, evaluation reports not available |
| Assessment of curriculum and development/integration of brand new training courses for mid-level and senior government officials at the Academy of Public Administration | Partially fufliled: Materials for new training courses developed; assessment of the curricuum not available |
| Establishment and support to Information and Computerisation Centres | Fulfiled. The project support to Information and Computerisation Centres in the regions was highly appreciated by the beneficiaries. Their work plans or reports summarizing efficiency or publicity gains were not available for the evaluation. However, the websites created with the LGSP support are operational. Te Tashkent region even leads among all regional government in the National Transparency Index, with Djizak and Namagan also among the data open champions |
| Trainings across the Activities | Partially achieved.Hundreds if not thousands of people are reported trained (no total figure reported). However, no evidence of agendas, participants, or satisfaction/feedback surveys. |
| Study Tours | 12 conducted, persinal interviews with trainees, reporting and followup activities evidence the high efficiency and effectiveness, with one reservation that no women participated and some men participated more than one time in both phases. |
| Conduct national and regional events on awareness-raising regarding issues of local governance reform and civil service reform, as well as the dissemination of knowledge products (brochures, bulletins, reports, info- graphics, etc.) among the public. | Overfulfilled, thousands of events, publications and promotion materials (the exact number is not reported) |
| **Activities Not Fulilled** |  |
| Reports on local multichannel public services | Not fulfilled |
| * Support measures to ensure the continuing development of services, and quality, inclusive and equal public access for OSSs, etc.; * Train in-country capacities for rolling out the optimisation for service provision, with the aim of streamline services; * If the legal status and financial sustainability of OSSs are assured by a decision of the government, provide methodological support to assist local governments in establishing additional OSSs in areas of low internet access. Identify alternative delivery models for rural areas, e.g. small OSSs located in local government buildings, mahallas, mobile OSS, other. | Not fulfiled. The activities related to OSS were dropped in 2015. |
| Evaluation report on "e-Hujjat“ functioning in 20 khokimiats of Tashkent region; | Not fulfilled or not available |
| Evaluation reports on increased the efficiency of regional Kengashes of people’s deputies, as well as of Djizakh and Namangan cities |  |
| Assessment of curriculum of APA | Not avaiable/not fulfilled |
| The monitoring of six Local Government Information Centres in the Djizak and Namangan regions with a view to provide recommendations for regional khokimyiats regarding the improvement of two-way communication with citizens, CSOs and mass media; | Not available//not fulfilled |
| Development of Concept on personnel reserve for the central and local governments (including the 30% quota for female professionals and managers). | Not available/not fulfilled |

**Legislation Drafting Activities**

The LGSP activities in support of drafting legislation should be separately noted. Table 6 presents and impressive list of the legislative work the LGSP specialists were involved in, with high degree of acceptance. The caveat to be made is that adoption of progressive legislation by the government does not automatically lead to development results and positive impacts on people. Any legislation needs enforcement, monitoring and corrective action.

**Project's Adaptive Management Framework:**

*Questions related to TOR: Reporting, Coordination and Monitoring Systems:*

* + *Assess the monitoring tools currently being used:*
  + *Do they provide the necessary information?*
  + *Do they involve key partners?*
  + *Are they efficient?*
  + *Do they encourage disaggregation of data (by sex, region, age, education)?*
  + *Are additional tools required?*

**Partnerships**

* + *The evaluation should also assess the extent to which the implementation of the project has been inclusive of relevant stakeholders and to which it has been able to create collaboration between different partners.*

The project management was adaptive and inclusive but overly concentrated on activities vs results that was reflected on the quality of reporting and monitoring.

**Involvement and Coordination of Stakeholders**

LGSP-2 has efficiently assisted the Central and local partner governments to identify and reform local governance aspects of the public administration and local development. This has been done in partnership with the Cabinet of Ministers, MoE, MoJ and affiliated think tanks and the Academy for Public Administration, as well as Banking and Finance Academy, with the use of research and opportunities for dialogue to highlight the needs and current challenges, and offered examples of effective local government policies from other countries.

The project activities are coordinated by the Interagency Coordination Working Group (ICWG). The ICWG panel was approved by the Prime Minister of the Republic of Uzbekistan in September 2011. Head of the ICWG panel - National project coordinator F. Bakiev, Head of Consolidated Information and Analytical Department (CIAD) of the Cabinet of Ministers of Uzbekistan. ICWG includes representatives of the Cabinet of Ministers, Heads of the ministries and organization, as well as deputy khokims of pilot regions and LGSP Project Manager.

The activities of LGSP-2 were included in the Resolution of the Cabinet of Ministers No.190 from July 11, 2014 "On measures of technical assistance attraction (grants) to the Republic of Uzbekistan from donor countries, international and foreign governmental and nongovernmental organizations in 2014 – 2016 ".

**Project Reporting**

The English and Russian versions of annual project pans, reports, budget and expenditure were available for the evaluation review. Some versions of the Annual Work Plans/Budgets and Annual Progress Reports 2014-2017 reviewed followed the structure of the Result and Resources Framework in the Prodoc with 3 Result Areas. Other versions reported from 6 to 8 result areas that were challenging to follow as per the original project documentation.

The progress reports are presented in a form of a table, with no Background section nor Executive Summary where the previous project achievement and changes in context would be summarised for ease of external reader understanding.

The reports provide detailed list activities implemented within the reporting period without reference to their contribution to the outputs and against the targets and indicators.

The evidence of the activities is not attached to the reports and had to be requested separately. In the situation where there is not central storage of all the project documents it is a time-consuming task. The training reports were not made available for the evaluation.

As part of the activities, the project reported on its contributions to numerous regulations and legislations. These a listed by their titles without much explanation of the nature of the changes promoted through the legislation.

Most activities were disaggregated by gender.

Although some of the reports required to indicate changes to the original plans, LGSP did not explain the reasons why its flagship activity One-stop-shops were abandoned in 2015 and some other activities were delayed.

**As discussed in the Effectiveness Section, no result-based monitoring tools were used in LGSP. The quantifiable indicators were not measured. No satisfaction surveys of public surveys users or trainees were conducted. Even the overall number of the direct and indirect beneficiaries was not available.**

**The lack of RBM resulted in either non-achievement of the development results or not measuring the results that were achieved downgrading their value for upscaling and replication.**

It is ironic that the project promoting RBM approach in the government did not use it for its own progress monitoring.

The project has implemented around 450 activities that fall in one or several of the following categories:

* Secretariat functions for the Inter-agency Coordination Work Group (ICWG)
* Organising and conducting trainings;
* Organising Study Tours;
* Organising Round tables and conferences;
* Developing analytical reports
* Developing training manuals and courses materials;
* Drafting legislation and legal concepts;
* Information dissemination and PR;
* Procuring equipment.

Most of these activities are characteristic of a **think-tank or resource centre** that the LGSP-2 Project Team, in fact, has been to support the Cabinet of Ministers-led ICWG and its members.

In general, the activities have been implemented in line with or insignificant delays as to the Annual Plans, with the proper adjustment to the complex and often much delayed reforms, e.g. Civil Service and Local Government legislation. However, it must be again emphasised that planning for 70% funding gap from the outset has adverse effect on the implementation overstretching the resources and/or spreading the activities thin at the cost of the results.

**Cost-efficiency**

In spite of the 40% funding gap, the team will have delivered most of the activities in the Prodoc 2014 in the most cost-efficient manner as compared to technical assistance projects of similar scale (at least from the 25 years of the evaluator’s experience).

According to the LGSP management, the economy was achieved through negotiating down the consultant’s contracts, reducing the number of hard copies of the project materials and manuals and number of foreign study tour participants.

Some savings were apparently through transfer of OSS and e-government work to other UNDP projects and on RBM. As the effectiveness analysis demonstrates, LGSP also saved on RBM, satisfaction survey and the result depth.

The budget distribution by implementation year:

The percentage by Activity Result of the total is 45%; 38%, and 18%. The distribution by year and in total does not clearly follow from the reported activities but due to the very broadly formulated Activity Areas some sub-activities might have been reported under different AR. Clearly, the funding of public participation (AR 3) reflects the real state of affairs in the regions.

It is difficult to identify the spending on individual activities because the budget is not activity-based but rather based on types of expenditure: consulting services, fuel, office supplies, etc.

**Table 6. Information on the participation of the UNDP project "Local Governance Support Programme / Phase-2"in the preparation of regulatory and legal acts (RLA) of the Republic of Uzbekistan in 2014-2017**

| **№** | **Name of RLA** | **Content of RLA** | **Project Participation** |
| --- | --- | --- | --- |
|  | LAW OF THE REPUBLIC OF UZBEKISTAN  **ON INTRODUCING CHANGES AND ADDITIONS, AND Annulment of Certain Legislative Acts of the Republic of Uzbekistan**  *(Collection of legislation of the Republic of Uzbekistan, 2015, No. 23, art. 301)*  Adopted by the Legislative Chamber on May 7, 2015  Approved by the Senate on May 15, 2015  Tashkent,  June 9, 2015,  No. LRU-388  **Article 2.** Law of the Republic of Uzbekistan No. 913-XII of September 2, 1993 "On Local Governance" (Newspaper of the Supreme Council of the Republic of Uzbekistan, 1993, No. 9, Article 320; Newspaper of Oliy Majlis of the Republic of Uzbekistan, 1997, No. 9, Article 241, 1999, No. 1, Article 20, 2005, No. 1, Article 18, Newspaper of Chambers of the Oliy Majlis of the Republic of Uzbekistan, 2005, No. 12, Article 418, 2007, No. 4 , Item 163, № 9, item 420, 2008, № 12, item 640, 2013, № 12, item 350, 2014, № 4, item 86, № 5, item. 130) shall be supplemented with Article 251 of the following content:  **«Article 251. Hearing by the Kengash of People's Deputies of the hokim report on the most important urgent issues of social and economic development of the region, district, city** | Amendments to the Law "On Local Governance " on the order of hearing by the Kengash of People's Deputies of the report of the khokim on the most important urgent issues of social and economic development of the region, district, city" | In working order (UNDP project consultant O.Akilov participated in the discussion of the project) |
|  | DECREE  OF THE PRESIDENT OF THE REPUBLIC OF UZBEKISTAN  **ON MEASURES TO ENSURE RELIABLE protection of private property, small businesses and private entrepreneurship, the removal of a barrier to accelerate their development**  dated May 15, 2015 No. DP-4725 | The Concept of the Single Window System was prepared together with the UNDP project "Business Forum of Uzbekistan" and submitted to the Cabinet of Ministers. | Participation in the proposals (UNDP project consultant U.Khaydarov directly participated in the preparation of the document) |
|  | RESOLUTION  OF THE PRESIDENT OF THE REPUBLIC OF UZBEKISTAN  **ON MEASURES TO FURTHER IMPROVE THE ORDER OF PROVISION OF STATE SERVICES TO ENTERPRISE SUBJECTS UNDER THE PRINCIPLE OF "SINGLE WINDOW"**  dated September 28, 2015 No. RP-2412 | The Concept of the Single Window System was prepared together with the UNDP project "Business Forum of Uzbekistan" and submitted to the Cabinet of Ministers. | Direct participation in the development of the Concept, the text of the draft document and participation in discussions. |
|  | RESOLUTION  OF THE PRESIDENT OF THE REPUBLIC OF UZBEKISTAN  **ON THE STATE PROGRAM "YEAR OF ATTENTION AND CARE AFTER THE OLDER GENERATION"***(Collection of legislation of the Republic of Uzbekistan, 2015, No. 8, art. 91)* | Suggestions on improving the provision of public services by local state authorities prepared and handed over to the Ministry of Labor and Social Protection of Population. | Direct participation in the development of the text of the draft document and participation in discussions  (suggestions were sent to GGU). |
|  | RESOLUTION  OF THE CABINET OF MINISTERS OF THE REPUBLIC OF UZBEKISTAN  **ON MEASURES TO STRENGTHEN THE MATERIAL AND TECHNICAL BASIS OF SINGLE CENTERS FOR STATE SERVICES TO ENTERPRISE SUBJECTS UNDER THE PRINCIPLE OF "SINGLE WINDOW"**  *(Collection of legislation of the Republic of Uzbekistan, 2015, No. 47, art. 598)*  Resolution of the Cabinet of Ministers dated November 23, 2015 No. 335 | Direct participation in the development of the text of the draft document and participation in discussions. | Direct participation in the development of the text of the draft document and participation in discussions. |
|  | RESOLUTION  OF THE CABINET OF MINISTERS OF THE REPUBLIC OF UZBEKISTAN  **ON THE IMPLEMENTATION OF THE COMPLEX OF MEASURES TO IMPLEMENT THE PROVISIONS OF THE LAW OF THE REPUBLIC OF UZBEKISTAN "ON OPENNESS OF THE ACTIVITIES OF GOVERNMENT AUTHORITIES AND MANAGEMENT"**  *(Collection of legislation of the Republic of Uzbekistan, 2015, No. 45, art. 575)*  Resolution of the Cabinet of Ministers dated November 6, 2015 No. 320 | Prepared a manual "On the mechanisms for ensuring the openness of the activities of public authorities and management".  The project participated in the development of a methodology for monitoring and assessing the openness of the activities of public authorities and directed them to the Public Council for Coordination and Monitoring of Activities to Ensure the Openness of the Activities of Governmental Authorities. | Direct participation in the development of the text of the draft document and participation in discussions. |
|  | RESOLUTION  OF THE CABINET OF MINISTERS OF THE REPUBLIC OF UZBEKISTAN  **ON THE APPROVAL OF THE UPDATED CLASSIFIER OF THE MAIN POSTS OF EMPLOYEES AND PROFESSIONAL WORKERS**  Resolution of the Cabinet of Ministers dated June 19, 2015 No. 164 | The introduction of 35 new types of posts (sent to the Ministry of Labor and Social Protection of the Population). | Direct participation in the development of the text of the draft document and participation in discussions  (80% of proposals accepted) |
|  | Draft Decree of the Cabinet of Ministers "On the Implementation of the Regional Development Strategy" | A methodological Manual for the development of Regional Development Strategies (RDS) with the involvement of international experts - Fergus Murphy (Great Britain) and Thomas Vlachak (Czech Republic) was developed. The draft Methodology was discussed with representatives of the Cabinet of Ministers, ministries and departments, international organizations. | The draft RLA was introduced in the working order for consideration by the Cabinet of Ministers. |
|  | Proposals for amending the Laws "On Investment Activities" and "On Local Governance" | The analytical report "Improving the organizational and legal conditions for attracting foreign investors to the regions of the Republic of Uzbekistan" and the main proposals have been approved at the meeting of the ICWG (МКРГ). | The draft RLA was introduced in the working order for consideration by the Cabinet of Ministers. |
|  | Resolution of the Kengash Senate of the Oliy Majlis No. PC-28-iii dated June 22, 2015 "On the introduction of changes and amendments to the provisional regulations of the local Kengashes of People's Deputies" | • The analytical report "Improving the activity and increasing the role of local Kengashes of People's Deputies" (published in Russian and Uzbek)  • 4 trainings and seminars were held to increase the capacity of representatives of the khokimiyat of the Tashkent region and deputies of the local kengashes of the region: more than 100 people took part.  • Assistance in holding meetings of the Tashkent regional Kengash of People's Deputies with the participation of representatives of the executive power, the population and the media: more than 100 people took part. | The project was directly involved in the drafting of the RLA. |
|  | The draft Resolution of the Cabinet of Ministers "On measures to further improve the procedure for the formation of the personnel reserve and the recruitment of employees in state bodies, as well as improving their qualifications"; | Together with the Ministry of Labor and Social Protection of the Population, a draft RCM "On measures to further improve the procedure for hiring employees in government and local executive authorities, as well as raising their qualifications, forming a pool of personnel", was agreed with all interested ministries and submitted to the Cabinet Of Ministers. | The draft text of the draft RLA was prepared by the UNDP project |
|  | Resolution  OF THE PRESIDENT OF THE REPUBLIC OF UZBEKISTAN  **ON ADDITIONAL MEASURES TO IMPROVE THE ACTIVITIES OF PUBLIC ADMINISTRATION GOVERNMENTS IN THE FIELDS OF ENSURING COMPLEX DEVELOPMENT OF TERRITORIES**  Tashkent,  February 22, 2016,  No. RP-2495 | • The methodology of functional analysis of the khokimiyat was developed.  • For the first time in Uzbekistan, on the basis of the approved Methodology, a functional analysis is currently being carried out in the hokimiat of the Tashkent region. The results of FA will be:  1. proposals for amending the Law "On State Power in the Field" and other normative legal acts;  2. introducing changes in the structure of the khokimiyat;  3. Introduction of changes in the list of functions of the khokimiyat;  A manual for the khokimiyats for the organization of work on the implementation of regulatory legal acts and others. | The results of the functional analysis were discussed and approved at the ICWG meeting.  The proposals were submitted to the Cabinet of Ministers. |
|  | Resolution  OF THE PRESIDENT OF THE REPUBLIC OF UZBEKISTAN  **ON IMPROVING THE STRUCTURE OF TERRITORIAL GOVERNMENT BODIES**  Tashkent, February 24, 2016,No. RP-2497 |
|  | Resolution  OF THE PRESIDENT OF THE REPUBLIC OF UZBEKISTAN  **ON THE APPROVAL OF TYPICAL PROVISIONS ON THE APPARATUS FOR THE CONTROL OF THE KHOKIMIYT OF THE AREAS, CITIES AND AREAS**г. Ташкент, April 27, 2016No. 123 |
|  | RESOLUTION  OF THE CABINET OF MINISTERS OF THE REPUBLIC OF UZBEKISTAN  **ON THE APPROVAL OF TYPICAL RULES OF THE ETHICAL CONDUCT OF WORKERS OF GOVERNMENT ADMINISTRATION BODIES AND AUTHORITIES IN THE FIELD OF THE EXECUTIVE AUTHORITY**  Tashkent, March 2, 2016, No. 62 | The project organized a seminar jointly with the Prosecutor General's Office on the topic "Compliance with ethical rules is a necessary condition for effective state management". | Draft text of the draft prepared by the project  (80% of proposals accepted) |
|  | RESOLUTION  OF THE CABINET OF MINISTERS OF THE REPUBLIC OF UZBEKISTAN  **ON THE APPROVAL OF THE REGULATION ON THE ORDER OF ISSUE OF TRAVEL TRADE PERMISSION**  Tashkent, July 13, 2016, No. 233 |  | The draft PPA was developed by the UNDP project consultants  (85% of proposals accepted) |
|  | Draft Law "On Local Governance" in a new edition | The concept and draft law have been prepared, discussed and approved at the sessions of the ICWG. | The preliminary version of the bill was prepared by the project and the Ministry of Justice sent ministries and departments for coordination and further introduction to the Cabinet of Ministers.  (85% of proposals accepted) |
|  | Draft Regulation "On the assessment of the effectiveness of civil servants" | In progress |  |
|  | Draft Regulation "On the procedure for attestation of civil servants" | In progress |  |
|  | Draft Law "On Public Service" | In progress |  |

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## 3.4 Sustainability

**Master Question: Can the project-supported models and activities be further implemented without donor support? To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?**

*Related questions in the TOR:*

*Sustainability: Extent to which the benefits of the project will continue, within or outside the project domain. after it has come to an end. Relevant factors include for example: development of a sustainability strategy, establishment of financial and economic instruments and mechanisms, mainstreaming project objectives into the local economy, etc.  
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The LGSP Programme’s outputs have achieved or have the potential to achieve varying levels of sustainability:

* The LGSP project successfully contributed to institutionalisation of the Information Services in the pilot regions.
* It is very unfortunate that LGSP-2 did not proceed with monitoring of the existing OSS in the regions and districts and other multi-channel services in the pilot regions and districts. This could have been the first-hand people-centered experience informing all further local governance reforms. However, the intensive promotion of OSS by LGSP have contributed to scaling up the OSS in all the 194 municipalities of Uzbekistan in 2015-2016. Their sustainability is yet to be monitored and assessed.
* The Local Development Strategies developed by LGSP will need a lot of improvement: Action Plans, measurable indicators, RBM, gender aspects and higher participation to be a sustainable local development tool.
* The piloted e-hujjat systems have been sustainably incorporated into the e-government reform.
* There is a potential sustainability of the regulatory and legislative initiatives developed by LGSP, provided there is further political will to public administration, civil service and local governance reform.
* The Concept of Administrative Reform will require a lot of time, effort, players and resources to be successfully and sustainably implemented. However, if the Government were to establish a Public Administration Reform Center as part of the President’s Administration, the LGSP project specialists would be the best candidates to technically support the reforms (except for the RBM function).

The key risk to the sustainability of the LGSP results is that after eight years of the UNDP support to local governance, there have not yet been convincing local development results achieved, - to the extent that some of the LGSP piloted approaches, e.g. OSS and Regional Territorial Development Departments, were reversed back to the central subordination due to lack of the local government capacity to run them effectively.

## 3.5 Impact

**Master Question: To what extent has LGSP contributed to the welfare of men and women, youth and disadvantaged within and beyond the project scale? What models, systems and practices are replicable and have broader impact beyond the pilot regions?**

*Related questions in the TOR:*

*What are the impacts of the project? Do they have equal value for women and men beneficiaries?*

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As discussed in the Effectiveness and Monitoring sections, it is hard to assess the ful impact of the project in the absence of the Result-Oriented Monitoring and SMART indicators.

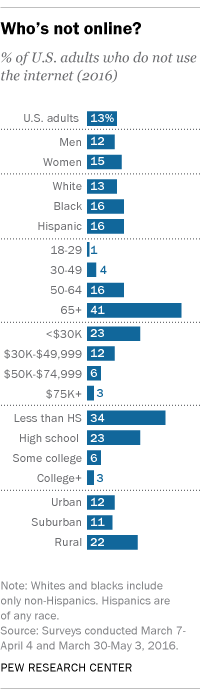
The 450 project activities involved around 13,000 people. Most of the beneficiaries (up to 90%) are civil servants. Presuming their competencies and public service skills have been improved due to the project, the activities can have a broad positive impact on improving the local governance. The hard evidence to that is yet to be sought.

The Open Data, E-Government, and online services to which the project contributed have much more significant effect with hundreds of online resources and up to hundred thousand users to date.

However, this impact should be treated by UNDP with caution. The technical Internet capacity is developing fast and in 2016, 51% of the population had access to Internet. Still 49% of the population do not have access to or do not use Internet or online services. The evaluation conducted a number of interviews in Tashkent and the regions and the findings are that the people with no Internet connection face the same challenges obtaining basic services as decades ago, prior to the 2013 ICT reform.

Hence, there is a risk that the poorest and most vulnerable population would not benefit from the e-government reform and would need alternative development support for public services and governance participation..

There is no analysis available for Uzbekistan of which social groups are exactly offline. But the article based on the USA survey (Box 1) can easily be extrapolated to the Uzbekistan poor, elderly and rural population:

**[](http://www.pewresearch.org/?attachment_id=282810)Box 1. 13% of Americans don’t use the internet. Who are they?**

**By** [**Monica Anderson**](http://www.pewresearch.org/author/manderson/) **and** [**Andrew Perrin**](http://www.pewresearch.org/author/aperrin/)[**32 comments**](http://www.pewresearch.org/fact-tank/2016/09/07/some-americans-dont-use-the-internet-who-are-they/#comments)

**http://www.pewresearch.org/fact-tank/2016/09/07/some-americans-dont-use-the-internet-who-are-they/**

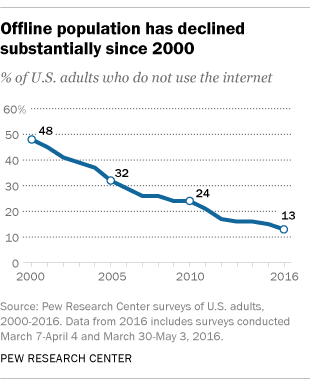
For many Americans, going online is an important way to connect with friends and family, shop, get news and search for information. Yet today, 13% of U.S. adults do not use the internet, according to a new Pew Research Center analysis of survey data.

The size of this group has changed little over the past three years, despite recent [government](https://www.whitehouse.gov/the-press-office/2015/01/13/fact-sheet-broadband-works-promoting-competition-local-choice-next-gener) and social service programs to encourage internet adoption. But that 13% figure is substantially lower than in 2000, when Pew Research Center first began to study the social impact of technology. That year, nearly half (48%) of American adults did not use the internet. (The 2015 figure of 15% is not statistically different from the current figure.)

A 2013 [survey from the Center](http://pewrsr.ch/1iPhdoz) found some key reasons that some people do not use the internet. A third of non-internet users (34%) did not go online because they had no interest in doing so or did not think the internet was relevant to their lives. Another 32% of non-internet users said the internet was too difficult to use, including 8% of this group who said they were “too old to learn.” Cost was also a barrier for some adults who were offline – 19% cited the expense of internet service or owning a computer.

The latest Pew Research Center analysis also shows that [internet non-adoption](http://www.pewinternet.org/2015/06/26/americans-internet-access-2000-2015/) is correlated to a number of demographic variables, including age, educational attainment, household income and community type.

Seniors are the group most likely to say they never go online. About four-in-ten adults ages 65 and older (41%) do not use the internet, compared with only 1% of 18- to 29-year-olds. Household income and education are also indicators of a person’s likelihood to be offline. Around a third of adults with less than a high school education do not use the internet, but that share falls as the level of educational attainment increases. Adults from households earning less than $30,000 a year are roughly eight times more likely than the most affluent adults to not use the internet.

[](http://www.pewresearch.org/?attachment_id=282809)Rural Americans are about twice as likely as those who live in urban or suburban settings to never use the internet. And while there have been consistent racial and ethnic differences in internet use since the Center first began measuring the activity, today, whites, blacks and Hispanics are all equally likely to be offline. (There were not enough Asian respondents in the sample to be broken out into a separate analysis.)

Despite some groups having persistently lower rates of internet adoption, the vast majority of Americans [are online](http://www.pewinternet.org/2015/06/26/americans-internet-access-2000-2015/%20target=). Over time, the offline population has been shrinking, and for some groups that change has been especially dramatic. For example, 86% of adults 65 and older did not go online in 2000; today that figure has been cut in half. And among those without a high school diploma, the share not using the internet dropped from 81% to 34% in the same time period.

*You can read about the*[*methodology for this post here*](http://www.pewinternet.org/2016/09/07/methodology-182/)*.*

*Note: This is an update of a post originally published July 18, 2015. It has been updated to include new data.*

Topics: [Demographics](http://www.pewresearch.org/topics/demography/), [Digital Divide](http://www.pewresearch.org/topics/digital-divide/), [Education](http://www.pewresearch.org/topics/education/), [Generations and Age](http://www.pewresearch.org/topics/generations-and-age/), [Income](http://www.pewresearch.org/topics/income/), [Internet Activities](http://www.pewresearch.org/topics/internet-activities/),

[Technology Adoption](http://www.pewresearch.org/topics/technology-adoption/)

# Conclusions

Based on the analysis in Section II, the following conclusions were made:

**Measuring Governance Progress Globally and Locally**

At the global level, UN chose to measure the projects in the governance area by qualitative indicators and not by the MDGs/SDGs targets and indicators. In the view of this evaluation, this approach should be reviewed. It is the country governments that endorse and commit to the global development goals. The Uzbekistan government successfully nationalised and reported on the MDGs in 2015 and is now adapting the SDGs to the national strategies. Therefore, governance projects should be measured by all SDGs and national indicators, including health, education, poverty, food security, employment, environment and other SDG indicators. Most of the SDG indicators are recommended to be used to measure the sub-national and local governance and self-governance projects. This will significantly improve the quality of design and result-based management of the projects.

**Quality of LGSP programme Design**

LGSP Programme Phase 1 and Phase 2 design promoted best development principles of inclusivity, equity and accountability. However, both Project Documents had the following deficiencies that negatively impacted the achievement of the development results:

1. Disconnect between the project outcomes and SDGs (downstreamed from the UNDAF and CDP disconnect as discussed above)
2. Broad and vaguely formulated project outputs using the words “improvement’, ‘better’, “more” and ‘stronger”.
3. Lack of baseline studies. The baselines were established based on the assumptions and general experience (that were not always correct) without reference to verifiable sources and quantifiable data.
4. Lack of measurable progress indicators. Most of the indicators (particularly Phase 2) were mere assumptions and/or piece of some background information that could not be used to report the progress against.
5. Deficiency of people-centered targets, outputs and indicators and dominance of government-centered ones.
6. Confusion of activities, outputs, results and outcomes.
7. Result and Resources Framework (RRF) attempting to combine three project management tools: Logical Framework, Budget and Operational/Calendar Work Plan. Overwhelmed with information, the RRF is very difficult to use as a project management instrument.
8. No clear Monitoring Plan requirement against the indicators.

**Planning with Significant Funding Gap**

The ambitious LGSP Project Document covering nearly every aspect of the public administration reform was designed with 70% funding gap inevitably leading to the overstretch of resources and spreading the project activities too thin to achieve tangible development results. The very unfortunate result of it was LGSP abandoning monitoring of one-stop shops for public services that could have provided first-hand information and lessons learnt for the reforms.

**Overall Project Assessment by OECD Criteria**

**Relevance.** LGSP-1 and LGSP-2 have been highly relevant to the democratisation and liberalisation policiesdeclared in the Uzbekistan Welfare Strategies, UN Development and Assstance Framework, MDGs and SDGs. The lack of enforcement of the declared government policies used to raise concerns relative to the relevance of the local governance projects to the actual government agenda. With the new leadership in the country, there is a hope that empowerment of local government and people are not only declared but will also be implemented.

**Efficiency and Effectiveness**: the project was highly efficient at the activity level (except for the service delivery component) but only marginally achieved the development results. This is partially due to the deficiencies in the design of both phases, partially for the lack of Result-Based Management and Monitoring and in part, due to the funding gap. Impact.

**Impact.** In spite of the absence of clear evidence of the development results, there can be a potentially strong impact of some of the project activities on the governance reforms, provided the Government will choose to utilize the tools introduced by LGSP.

The **sustainability** of the project tools introduced (development strategies, functional analysis, e-government, legislative initiatives related to local and national public administration reform) will depend on their approval by the government and on the objective and inclusive monitoring of the reforms.

**Women Empowerment.**

LGSP Programme has attempted to incorporate the gender issues in the future public administration and civil service reforms and the related legislation. However, not much progress has been reported in terms of women in power within LGSP.

**Developing Institutional Capacity for the Reforms**

LGSP operated as a standalone project providing expert assistance to a number of local stakeholders. This approach has the advantage of independence. However, from the development perspective, it is more effective to build capacity within the local institutions, rather than providing temporary non-institutionalised external expertise.

**Monitoring of the Reforms**

The analysis of the quarter of a century of the declared governance reforms and the results of their actual implementation reconfirms the acute need for the result-based monitoring both within the government and the donor programme. Many of the ‘new tools’ promoted by LGSP (e.g.functional analysis, one-stop-shops have been piloted in Uzbekistan with various level of success but the lessons from the reforms have not been institutionalised and learnt resulting in many repeated mistakes and wasted resources.

Monitoring should be independent, objective and evidence-based. UNDP can play an invaluable role in providing this support to the Uzbek people.

**Quality Control and Result-Based Monitoring in UNDP**

UNDP is equipped with strong methodologies of quality and development result monitoring. However, the UNDP staff approves the project reports that ignore basic RBM requirements. It is aso clear that there is some degree of duplication on the governance projects that can be avoided if there was a single programmatic strategy and RBM of the sector/area portfolio.

# Recommendations

The following recommendation are offered to UNDP based on the evaluation analysis:

1. **Ensure Better Linkages between Projects and SDGs**

Ensure better links between Governance projects and SDGs, UNDAF and UNDP Country Strategies, so that projects would clearly contribute to the higher level targets and goals in a measurable way. Government is responsible for all the 17 SDGs achievement and its effectiveness should be measured by nationalised SDGs plus other globally measured benchmarks: HDI, World Governance Index; Doing Business, Freedom Index, Transparency Index, and other.

For example – SDG 1 eradicate extreme poverty – identify and eradicate the extreme poverty cases in Uzbekistan through local governance/development projects. The SDG will be then further translated to the regions, city/district and mahalla levels.

**1.1 Ensure Localisation of Sustainable Development Goals**

There is an existing SDG working groups at the Statistics Committee that is to lead the Government on the nationalisation of SDGs. UN CO can support an additional SDG Localisation Work Group that would translated the adapted Uzbekistan National SDGs into Regional and, potentially District SDGs., using the established SDG indicators. After the indicators and action plans are agreed for each region, the national and regional monitoring will be conducted, with publicly available annual and five-year reports, corrective action publicly discussed.

1. **Consider the Following Areas for Further Local Governance Support:**

While the President of Uzbekistan has been successfully establishing new government rules, it is recommended to concentrate future support in the Local Governance sector on developing **local governance and self-governance institutions**, and in particular their following functions:

* 1. **Inclusiveness:** involvement of women, NGO, poor, disabled, youth, entrepreneurs through encouraging their self-organizations and institutionalizing their involvement in all local decisions at all levels: mahalla, rayon, city, oblast – by law and practice.
  2. **Integrated Regional Strategic Development**: technical support in further development of integrated regional strategic planning based on robust baseline assessments, measurable socio-economic indicators and quarterly, annual and triannual monitoring and evaluation as part of effective institutions development.
  3. **Local Civil Service Committed to People-centered Reforms**: support the implementation of the Civil Service Reform at the local levels, transparent and accountable standards for all levels of the local civil servants and help measure the impact on their service on the various strata of the local population – through detailed, clear and measurable system of performance indicators and population opinion surveys.
  4. **Trade Potential Assessments**: Taking into consideration a number of the Uzbekistan regions bordering other countries, regional trade assessments as well as potential impact of WTO accession on the local development could be of high value and would inform the regional development plans.

1. **Improve Project Design, Management and Monitoring**

**3.1 Result-oriented Management**

Provide training on Result-based Management and Monitoring to all core UNDP staff and all the project employees and consultants on an annual basis.

Many activities and tools introduced by UNDP projects tend to become an ‘end in itself’ or ‘endless processes’ and declared as ‘development results’ even before they are scaled up and adopted (e.g. laws, OSS, functional analyses, etc.).

**3.2 Establishing Baselines and Indicators**

It is recommended to establish measurable and verifiable baselines and indicators in each UNDP project. Sometimes it requires conducting baseline studies and surveys that might seem to be an extra cost in the situation of limited funding. However, SMART approach is an investment that will eventually help to achieve development results at reasonable cost or cut ineffective projects.

**3.3 Develop Realistic Budgets**

It is recommended not to design projects that have more than 30% funding gap. It is always possible to scale up and/or expand successfully implemented activities with additional funding.

**3.4 Improve Quality and Presentation of Project Reports**

It is recommended that UNDP should require all projects to have a background section, an executive summary and result and activity narrative and the documentary evidence attached to the reports so that an external reader could easily and quickly familiarise themselves with the project progress and achievements.

**3.5 Ensure Coordination and Prevention of Duplication**

Country Office should have and in-house facility for the Country Programme, Thematic Areas and individual projects monitoring and a regular (quarterly basis) in order to identify and prevent the duplication of activities.

1. **Ensure Specialist Approaches to Women Empowerment**

Cooperate with UN Women for any women component in any project, including Governance. The time of simple declaration of women importance is over. Tailor made approaches by specialist organisation are necessary to achieve gender improvements.

1. **Consider Support to Conducting a Population Census**

In a series of public speeches, President Mirziyoyev has emphasised the gaping gap of information on how many people live in each Uzbekistan household, what age they are, what is their employment status and what help they might need. This information is needed to improve people’s welfare and to better plan and manage the budget resources. The last Census in Uzbekistan was conducted in 1989. There have been a lot of population changes since then. The new Census that can be supported by UN Group and other donors could address that population information need.

This can be done using modern ICT technologies, including mobile phone applications (there are 21.5 million mobile services users as of August 2017).

1. **Introduce Internationally Benchmarkable Governance Measurement Methodologies, e.g. Subnational Doing Business Surveys**

Help the GOZ design and conduct a Subnational Doing Business Survey using the World Bank’s Doing Business methodology with four sampling groups: e-governance clients; one-stop-shop clients, non-one-stop-shop clients, women entrepreneurs; rural entrepreneurs, at least 50 in each group.

Currently, BFU-3 is considering conducting subnational DB surveys in Tashkent and two regions. It is recommended that UNDP supports the subnational surveys in all the 14 regions of Uzbekistan that will present an internationally comparable assessment of the business climate at the regional level.

It is recommended that the Government of Uzbekistan would then run an annual regional DB competition, similar to the e-Transparency Competition introduced in 2016.

A separate sub-national survey of selected public (non-entrepreneurship-related) services in regional centres, districts and cities and mahallas – either a standalone exercise to inform the governance reforms or as part of a more comprehensive local development project, e.g. as described below.

1. **Conduct Practical Steps on Top-down and Bottom-up Governance Reform**

**7.1 Top-down Reform**

It is recommended that the Government of Uzbekistan could establish a dedicated team for the Public Administration Reform design and implementation (commission) directly reporting to the President. The initial analysis will be based on:

1. The long-term objectives of the country, e.g. nationalised Agenda-2030: prosperity, eradication of poverty, achieving high income status, etc.
2. The key objectives of the Country Strategy in place, e.g. Strategy of Actions 2017-2021
3. Comprehensive analysis of all public services and functions at the national, regional, local and mahalla levels, as there are currently both vertical and horizontal redundancies, duplications and inefficiencies.
4. Clear targets, indicators, timelines and resource pan for the reform.
5. Monitoring and Evaluation mechanism in place to take corrective action at all levels.

It is recommended that UNDP consider supporting the initiation of such commission and its support. The LGSP Inter-agency Working Group could be a prototype of the possible commission. However, unlike LGSP, the Government funding would be a prerequisite for its operations and the reforms.

**7.2 Bottom-up Reform**

As instructed by the Uzbekistan President on the Resolution of 8 August 2017, all the local development reforms will be from now on in the order of “Mahalla-District/City-Oblast-Republic”, i.e based on ordinary people needs.

The initial actions to support this reform could be as follows:

1. Select of 1-2 most economically disadvantaged districts of the 69 districts with over 60-70% level of subsidizing.
2. Conduct a representative sociological and economic survey of mahallas to establish a baseline and inform the district planning.
3. Cooperate with the district and regional khokimiyats and kengashes to select 5-10 mahallas to develop the local self-governance projects within the “Modern Mahalla Initiative” to be supported by the President.
4. Provide initial financing with clear phasing out.
5. Hire local training and research institutions to monitor the progress or help establish branches of the central institutions locally.
6. Design the computerised statistical information collection tool to feed the mahalla data in the rayon Management Information Systems that would be further fed into the regional system.
7. Help organise for and raise funds small local development project in pilot mahallas or inter-mahalla in the areas of energy, water supplies, infrastructure, preschools, tourism and other projects.
8. Help develop social and commercial enterprise.
9. Increase local councils budgets through better management of social transfers and dues for mahalla services.
10. Assess access to public and private services for SMEs and people. Mobilise people’s initiative to develop the proposals how to improve them using own and public resources
11. Assess the effectiveness and engagement levels
12. Empower women.
13. Replicate success stories in other mahallas and districts.
14. Cooperate with other UN agencies and other donors active in the area.

These are some initial ideas for the new projects that can be further developed if UNDP and government partners would show interest.

# Annex 1 - Terms of reference

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|  | **UNITED NATIONS DEVELOPMENT PROGRAMME**  **JOB DESCRIPTION / INDIVIDUAL CONTRACT** |

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| **I. Position Information** | |
| Position Title:  Type of contract:  Project Title/Department:  Location:  Duration of the service:  Expected places of travel:  Work Status:  Reports To: | International Consultant for evaluation of LGSP-2 project  IC contract; independent evaluation of the UNDP project  Good Governance Unit, UNDP Uzbekistan  Home based and one field trip to Uzbekistan  25 days during April/August 2017   * 5 w.d. desk work in country of residence (May 15-19, 2017) * 8 w.d. mission to Tashkent (May 29 - June 7, 2017) * 12 w.d. desk work in country of residence (August 7-22, 2017)   Tashkent, Tashkent Region, Namangan Region and Djizak Region, Uzbekistan  Full Time  Head of Good Governance Unit, UNDP Uzbekistan CO |

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| **II. Background** |
| UNDP Uzbekistan within the UN Development Assistance Framework (UNDAF) for Uzbekistan has been implementing "Local Governance Support Project: Phase-2" (LGSP-2) since 2014, after successfully completing the first phase in 2010-2013. The Project has been working with three pilot regions – Djizak, Namangan and Tashkent regions since March 2014, focusing on promoting more effective, accountable and inclusive governance in Uzbekistan by enhancing local government performance, increasing citizen participation in local governance, and supporting accountability and transparency.  Building on the success of “Local Governance Support Programme/Phase-1” (LGSP/Phase-1), implemented from 2010 to 2013, LGSP/Phase-2 has supported efforts of the Uzbek government to increase the capacity of regional and district level authorities to manage the increased decentralisation and deconcentration of administrative and fiscal authority through: enabling favorable environment by preparation of a series of analytical papers, enhancing the public administration system through improvement of legislative base, enhancing the capacity of civil servants, preparing territorial development strategies, introducing participatory governance work and e-governance tools, and introducing new approaches to managing recreational resources in pilot regions of country. The project, in addition to the Project Board, is guided by the Interagency coordinating working group (ICWG), approved by the Prime Minister and headed by the Cabinet of Minister’s Department Head. It consists of of thirteen members including representatives from the Cabinet of Ministers, the deputy heads of relevant ministries/agencies and Deputy Khokims of the pilot regions. LGSP is implementing three major activities:  The main activities of the project have been in the following spheres:   1. reforming the system of public administration and strengthening the administrative capacity of local authorities and management. 2. empowering local governments for equitable development, local accountability and for better quality and transparency of financial management on planning and performance of local budgets 3. increasing democratic accountability and openness of local executive and representative authorities as well as active public participation at local decision-making   The project, through the above-mentioned activities, aims to achieve the following results:   * Scaling-up of successful results of LGSP/Phase-1 (Modern Information Centers, One-Stop-Shop, Electronic Document Management System, Community Based Tourism Model, Regional Development Strategies); * Development of methodology/policy options for a vertical functional review of public services, for integration into multi-channel local service delivery mechanisms; * Enhancing the capacity of local elected bodies (Kengashes) by strengthening their oversight, representative and rulemaking functions in cooperation with the Senate Commission on the support of local representative bodies; * Improving the civil service system in Uzbekistan, including introduction of ethics codes for civil servants, merit-based recruitment and promotion practices, etc. * Development of proposals on amendments to the Law “On Local Government”; * Enhancement of the quality of curriculum development at the Academy of Public Administration; * Empowerment of local governments in terms of equitable development, local accountability, and better quality and transparency of financial management; * Development of a cross-practice Local Development Strategy in pilot regions.   Since 2014 the project has developed a number of initiatives successfully implemented in the fields of local governance, regional development and reforms of the system of public administration and civil service in local authorities and others. This year the project is approaching its completion, which is December 2017.  The details of the project activities are available on the project website [www.lgsp.uz](http://www.lgsp.uz)and <http://www.uz.undp.org/content/uzbekistan/en/home/operations/projects/democratic_governance/local-governance-support-programme-phase-II.html> as well as in social media: <https://www.facebook.com/lgspuzbekistan> |

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| **III. Objectives of the Evaluation / Evaluation requirements and methodology/Next phase formulation** |
| This Final Project Evaluation is initiated by the UNDP Uzbekistan and aims to assess the relevance, performance, management arrangements and success of the project and provide recommendations for possible follow-up. Based on internal assessment and continuous positive feedback of the stakeholders and project beneficiaries, it is envisaged that UNDP Uzbekistan remains committed in continuing its efforts in this field. Therefore, it is anticipated that the outcomes of the evaluation will be a clear source for future planning and prioritization of UNDP Uzbekistan activities in the field of local governance and regional development. It should provide the basis for learning and accountability for managers and stakeholders. The evaluation will have to provide to UNDP complete and convincing evidence to support its findings/ratings. Particular emphasis should be put on the project results, the lessons learned from the project and recommendations for the follow-up activities.   * This evaluation is to be undertaken in line with the evaluation policy of UNDP ([http://www.undp.org/content/undp/en/home/operations/accountability/evaluation/evaluation\_policyofundp](http://www.undp.org/content/undp/en/home/operations/accountability/evaluation/evaluation_policyofundp/)) and the UNDP Handbook on Monitoring and Evaluating for Results (<http://web.undp.org/evaluation/handbook/index.html>).   The assignment will take place within April/June 2017. It will involve desk work and meetings with national partners and stakeholders, including project beneficiaries. The international consultant will work in close collaboration with UNDP Uzbekistan CO and relevant stakeholders. The meetings with national stakeholders and beneficiaries will take place in Tashkent city, Tashkent region, as well as in Namangan and Djizak cities.  *EVALUATION OBJECTIVES:*  The evaluation is intended to provide a comprehensive overall assessment of the project and to provide recommendations for exit strategy and/or follow-up activities.  The purpose of the Final Evaluation is:   * To assess overall performance against the Project objective and outcomes as set out in Project Document. * To assess the effectiveness and efficiency of the Project. * To analyze critically the implementation and management arrangements of the Project. * To assess the sustainability of the project’s interventions. * To list and document lessons concerning Project design, implementation and management. * To assess Project relevance to national priorities. * To assess changes in the baseline situation and provide guidance for the future activities in the area of promoting local governance reform and regional development planning.   Project performance will be measured based on Project’s Results and Resources Framework, which provides clear indicators for project implementation. The Report of the Final Evaluation will be stand-alone document that substantiates its recommendations and conclusions.  Evaluation:  Under the direct supervision of the Head of Good Governance Unit and in close cooperation with LGSP-2 Project Manager, the International Consultant for evaluation of LGSP-2 project will be responsible for the completion of the following tasks and duties:  Project concept and design: The evaluator will assess the project concept and design. He/she should review and provide an evaluation of the project strategy, planned outputs, activities and inputs, implementation modality, clarity and effectiveness of management arrangements and cost-effectiveness of approaches taken in relation to the overall project objectives. The evaluator will assess the achievement of results and targets against the project work plans.  Implementation: The evaluation will assess the implementation of the project in terms of quality and timeliness of inputs, efficiency and effectiveness of activities carried out. Effectiveness of management, the quality and timeliness of monitoring and backstopping by all parties to the project should also be evaluated. In particular, the evaluation is to assess the Project team’s use of adaptive management in project implementation.  Project outputs, outcomes: The evaluation will assess the outputs in relation to the Country Program outcomes, achieved by the project as well as the likely sustainability of project results. This should encompass an assessment of the achievement of the immediate objectives and the contribution to attaining the overall objective of the project. The evaluation should also assess the extent to which the implementation of the project has been inclusive of relevant stakeholders and to which it has been able to create collaboration between different partners. The evaluation will also examine if the project has had significant unexpected effects, whether of beneficial or detrimental character.  The Final Evaluation will also cover the following aspects:  ***Results and effectiveness*:**  Changes in development conditions*.* Address the following questions, with a focus on the perception of change among stakeholders:   * What are main outputs and outcomes of the project? * What are the impacts of the project? Do they have equal value for women and men beneficiaries? * Has project contributed to establishment of efficient national institutional frameworks for promotion of local governance and decentralization reforms, delivery of public services, improvements in regional development planning and implementation, promoting transparency and accountability in local authorities? * Has the UNDP partnership strategy been appropriate and effective? * Has awareness on local governance and decentralization reforms, increasing transparency and accountability of local governance bodies, e-governance, improving the effectiveness of local representative bodies (Kengashes), regional development in general and among stakeholders been increased? * Has attention of stakeholders to local governance and decentralization reforms, increasing transparency and accountability of local governance bodies, improving the effectiveness of local representative bodies (Kengashes), regional development increased and has it been reflected in concrete actions? * Has capacity of local governments in pilot regions been increased in terms of: regional development planning, local partnership building; resource mobilization skills; self-advocacy skills? * Has implementation of public administration reform, e-governance and decentralizationinitiatives improved?   Measurement of change*:* Progress towards results should be based on a comparison of indicators before and after the project intervention.  Project strategy: How and why outputs contribute to the achievement of the expected results. Examine their relevance and whether they provide the most effective route towards results.  Sustainability: Extent to which the benefits of the project will continue, within or outside the project domain, after it has come to an end. Relevant factors include for example: development of a sustainability strategy, establishment of financial and economic instruments and mechanisms, mainstreaming project objectives into the local economy, etc.  ***Project’s Adaptive Management Framework:***  Monitoring Systems   * + Assess the monitoring tools currently being used:   + Do they provide the necessary information?     - Do they involve key partners?     - Are they efficient?     - Do they encourage disaggregation of data (by sex, region, age, education)?     - Are additional tools required?   Risk Management   * Validate whether the risks identified in the project document and the ATLAS Risk Management module are the most important and whether the risk ratings applied are appropriate Describe any additional risks identified and suggest risk ratings and possible risk management strategies to be adopted for the future activities.   Work Planning   * Assess the use of the logical framework as a management tool during implementation and changes made to it; * Assess the use of routinely updated workplans; * Are work planning processes result-based? If not, suggest ways to re-orientate work planning. * Assess financial management of the project, with specific reference to the cost-effectiveness of interventions.   Reporting   * Assess whether UNDP reporting requirements were met. * Assess whether disaggregated data is being used.   ***Underlying Factors***   * Assess the underlying factors beyond the project’s immediate control that influence outcomes and results. Consider the appropriateness and effectiveness of the project’s management strategies for these factors. * Assess the effect of any incorrect assumptions made by the project.   ***UNDP Contribution***   * Assess whether UNDP’s outputs and interventions can be credibly linked to achievement of the outcome, including the outputs, programmes, projects and soft and hard assistance that contributed to the outcome; * Assess the role of UNDP against the requirements set out in the UNDP Handbook on Monitoring and Evaluating for Results; * Assess implementation of the new UNDP requirements outlined in the UNDP User Guide, especially the Project Assurance role; * Assess the UNDP contribution to the project “soft” assistance (policy advice & dialogue, advocacy, coordination).   ***Partnership Strategy***   * Assess how partners are involved in the project’s adaptive management framework: (i) Involving partners and stakeholders in the selection of indicators and other measures of performance; (ii) Using already existing data and statistics; and (iii) Analyzing progress towards results and determining project strategies. * Identify opportunities for stronger substantive partnerships in the future. * Assess how local stakeholders participate in project management and decision-making. Include analysis of strengths and weaknesses of the approach adopted by the project and suggestions for improvement. * Assessment of collaboration between governments, intergovernmental and non-governmental organizations. * Assessment of collaboration between implementation units of other related projects. * Assessment of local partnerships. * Transfer of capacity to the national institutions.   ***Project Finance:***   * Assess the cost-effectiveness of the project interventions.   ***Formulation of formulation of a new results framework for future partnership***  The purpose of the formulation of the new results framework for future partnership is to identify the potential entry points for development intervention in the areas of local governance and decentralization reforms, regional development and decreasing regional disparities, improving transparency and accountability of local governments and their two-way dialogue with people. The documents to be prepared by International consultant during formulation of the new results framework for future partnership should comply with UNDP standards on results-based management, and templates for project document. UNDP Good Governance Unit will provide these necessary templates to the International consultant.  Under the direct supervision of the Head of Good Governance Unit and in close cooperation with Programme Associate on Public Policy, the International Consultant for evaluation of theLGSP-2 Project and will be responsible for the completion of the following tasks and duties:  •Analyze major lessons learned from Project`s previous activities and conduct country context analysis in order to determine background of problems showing the need/demand for the new results framework for future partnership;  •Prepare project proposal, project justification, identifying the main implementing partner, key stakeholders and beneficiaries, overall goals and specific objectives, a list of main activities, duration, and outputs, potential risks and estimated budget;  •Draft the Results and Resource Framework (RRF) for the proposal on the new results framework for future partnership. The template for RRF will be provided by UNDP Good Governance Unit;  •Advise to UNDP senior management on organization structure for the possible new project, including description of roles and responsibilities of project team members;  •Propose monitoring and evaluation mechanism as well as quality management for activity results during the new project implementation.  *Evaluation Methodology:*  The Final Evaluation will be done through a combination of techniques, including   * Desk review of all relevant documentation (project outputs and other materials); * Consultations with stakeholders (partners and beneficiaries) and UNDP staff; * Validation exercise with UNDP CO and national partners of Project.   Evaluation should involve the wider possible range of stakeholders.  **Duration of the service:**  25 days during April/June 2017   * 5 w.d. desk work in country of residence (May 15-19, 2017) * 8 w.d. Mission to Tashkent (May 29 - June 7, 2017) * 12 w.d. Desk work in country of residence (August 7-22, 2017)   **Deliverables and timeframe:**  The duration of the assignment is up to 25 working days in April–August 2017. The final timeframe will be agreed upon in the beginning of consultancy assignment. All deliverables should be submitted to UNDP by the International Consultant in English.  **Deliverable 1 (first instalment: (25%), Due date: May 23, 2017):**   * Desk review based on of briefings with the project team and GGU. * Final Project Evaluation work plan, proposed methodology of evaluation and a report outline, including plan of meetings with stakeholders and beneficiaries.   **Deliverable 2 (second instalment: (30%), Due date: June 16, 2017):**   * Interviews with local stakeholders, questionnaires, focus groups. * Draft Evaluation report, including Annex on analysis of validation results for preliminary findings with stakeholders.   **Deliverable 3 (third instalment: (45%), Due date: August 22, 2017):**   * Validation of preliminary findings with stakeholders through circulation of initial reports for comments. Preparation of draft evaluation report and incorporation of comments; * Final evaluation report, including Annex on the proposed new results framework for future partnership.   This is a lump sum that should include costs (honorarium, travel, DSA, visa, etc) of consultancy required to produce the above deliverables |

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| **V. Payment Conditions** |
| This is a lump sum that should include costs (honorarium, travel, DSA, visa, etc) of consultancy required to produce the above deliverables. Payment will be released in the following installments:   1. Upon submission and acceptance by Programme Unit of UNDP of the deliverable 1 - 25% of the lump sum 2. Upon submission and acceptance by Programme Unit of UNDP of the deliverable 2 - 30% of the lump sum 3. Upon submission acceptance by Programme Unit of UNDP of the deliverable 3 - 45% of the lump sum. |

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| **VI. Recruitment Qualifications** | |
| Education: | Education:   * Master Degree in law, public administration, public policy, economics, humanitarian and social sciences and other areas relevant for the assignment is required;   Experience:   * At least 5 years of practical experience in any of the following areas is required: institutional organization and public sector in complex environments, strategic processes planning, project design, project management, monitoring and evaluation of development projects; * Out of 5 yeas, at least 1 years of experience with results-based management evaluation methodologies, project formulation, participatory monitoring approaches and applying SMART indicators in the area of local governance in developing countriesis required; * Previous experience with public administration reform, local development, local governance related project design, implementation and monitoring, preferably in CIS region is an asset; * Awareness of gender issues (preferably in the CIS region) and knowledge of gender mainstreaming techniques is an asset; * Project design and evaluation experiences within UN system will be considered an asset.   Language Requirements:   * Fluency in English is required; knowledge of Russian is an asset but not a requirementж   Others:   * Strong communication skills, client-orientation, ability to work in a team; * Initiative, analytical judgment, ability to work under pressure, ethics and honesty; * Understanding of human rights, gender and cultural dimensions. * Advanced ability to use IT equipment and software.   **How to apply:**  **Interested individual consultants must submit the following documents/information to demonstrate their qualifications:**   * P-11 form; * Offeror’s letter.   Applicants are required to fill and sign a P11 Form and Offeror’s Letter and apply through UNDP job online system. You will be asked to upload your P11 Form and Offeror’s letter on the second page of the online application form. Please note that the system will not accept the uploading of more than one document so please merge or scan all your documents into one prior to uploading.  Only Shortlisted candidates will be requested to provide financial offer.  **Financial Proposal**  The financial proposal shall specify a total lump sum amount. Payment will be made in lump sum in two installments upon completion of the tasks/works indicated in the present TOR and their acceptance by the Supervisor as well as submission of payment documents (PEF, CFP etc.). In order to assist the requesting unit in the comparison of financial proposals, the financial proposal will include a breakdown of this lump sum amount (including travel, per diems, and number of anticipated working days).  **Travel**  All envisaged travel costs must be included in the financial proposal. This includes all travel to join duty station/repatriation travel.  In general, UNDP does not accept travel costs exceeding those of an economy class ticket. Should the IC wish to travel on a higher class he/she should do so using their own resources.  In the case of unforeseeable travel, payment of travel costs including tickets, lodging and terminal expenses should be agreed upon, between the respective business unit and Individual Consultant, prior to travel and will be reimbursed.  **Evaluation of the offers will be arranged according to Cumulative analysis**  The award of the contract shall be made to the individual consultant whose offer has been evaluated and determined as:   * Responsive/compliant/acceptable; and * Having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation.   Technical Criteria weight: (70%). Financial Criteria weight: (30%).  Only candidates obtaining a minimum of 49 points would be considered for the Financial Evaluation  Individual Consultant General Terms and Conditions (available at <http://www.undp.org/content/dam/undp/documents/procurement/documents/IC%20-%20General%20Conditions.pdf>). |
| Experience: | * At least 5 years of practical experience in any of the following areas is required: institutional organization and public sector in complex environments, strategic processes planning, project design, project management, monitoring and evaluation of development projects; * Out of 5 yeas, at least 1 years of experience with results-based management evaluation methodologies, project formulation, participatory monitoring approaches and applying SMART indicators in the area of local governance in developing countriesis required; * Previous experience with public administration reform, local development, local governance related project design, implementation and monitoring, preferably in CIS region is an asset; * Awareness of gender issues (preferably in the CIS region) and knowledge of gender mainstreaming techniques is an asset; * Project design and evaluation experiences within UN system will be considered an asset. |
| Language Requirements: | * Fluency in English is required; knowledge of Russian is an asset but not a requirement |

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| **VII. Signatures - Post Description Certification** |
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# Annex 2 – Evaluation Matrix and Project Results Matrix

Based on the Master Evaluation Questions in Section 5, the following Evaluation Matrix was developed and used based on the LGSP-2 RRF:

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| **Evaluation Questions** | **Indicators** | **Sources** | **Methodology** |
| * 1. **Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?** | | | |
| 1.1 To what extent is LGSP relevant to national level policies?  CPD RRF 3.2 Outcome: Strengthening public administration at all levels that exercise efficient, accountable and inclusive governance | Outcome 3.2 Indicator: Progress in civil service reform.  Outcome 3.2 Baseline: Comprehensive civil service reform or law on public administration adopted.  Outcome 3.2 Target: Comprehensive strategy in place for civil service reform, and a shift towards Results-Based Management | Welfare Strategies 2010-2015;  National Development Strategy 2017-2021  Other Government policies and documents  Relevant legislative process: On local self-governance, On transparency; On public administration reforms; On representative bodies, On e-Government, Budget Code | Desk review  Document analysis  Data analysis  KIIs and FDGs  Interviews with project staff at the national level  Data will be analyzed to see if project is meeting its targets. The objectives and hypothesis of the project will be analyzed and compared with UNDP’s CPD and UNDAF targets to see they are mutually aligned: if the project results are contributing towards CDP/UNDAF objective and results.  Assessment of the underlying factors beyond the project’s immediate control that influence outcomes and results; the appropriateness and effectiveness of the project’s management strategies for these factors.  Assessment of the effect of any incorrect assumptions made by the project. |
| 1.2 To what extent is LGSP relevant to the regional and local needs/strategies? | LGSP Output: Strengthening local governance at regional and district levels to ensure accountable, inclusive and equitable local development. | NDS 2017-2021  National policies for regional development  Regional Development strategies  Regional legislation and regulations | Desk review  Document analysis  Regional Data analysis  RDS analysis  KIIs and FDGs  Interviews with project staff at the regional, district and mahalla level  Assessment of UNDP attribution  Assessment of Partnership strategies |
| * 1. **Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far? Has the UNDP partnership strategy been appropriate and effective? How and why outputs contribute to the achievement of the expected results?** | | | |
| 2.1 Has Activity result No 1: “Reforming the system of public administration and strengthening the administrative capacity of local authorities and management” been achieved? | **Baselines:**   * 1. Neither central nor local authorities have methodologies for streamlining service delivery at the local level; the out-of-date law ‘On Local Government’ precludes local results- based governance and sustainable development   2. In the absence of civil service reform, there are few opportunities for local civil servants to improve their performance;   3. Public access to e- government services is limited at the local level.   **Indicators:**  1.1 The government is provided with methodology/policy options for the functional review of the streamlining of public services delivery as an institutional aspect of civil service reform, and the decentralization/ deconcentration of powers between central and local level authorities. The government is provided with a comprehensive concept of administrative decentralisation, and recommendations on Law ‘On Local Government’;  1.2 Curriculum development at the Academy of Public Administration, extended to local governments.  1.3. The number of users/clients (men and women) and companies using One-Stop-Shops and other e-services of local governments; the number of public services transformed into e-services. | Legislation progress: On Local Government  Project reports  Local development strategies  e-Hujjat/OSS monitoring and client satisfaction surveys  UN e-governance development reports  Functional analyses | Desk review  Project Document analysis  Regional Data analysis  RDS analysis  KIIs and FDGs  Interviews with project staff at the regional, district and mahalla level  Relevant documents will be reviewed to identify and flag the unintended results which will be further investigated in FGD, KIIs, and with project staffs. |
| **2.3 H**as Activity result No 2. “Empowered local governments for equitable development/ local accountability, and for better quality and transparency of financial management regarding the planning and performance of local budgets” achieved its objectives? | **Baselines:**   * 1. Highly centralised fiscal and public finance management does not empower local governments to seek additional sources of local revenue generation for equitable development.   2. Planning strategy for the cities are sector- based, with a predominantly narrow focus on economic development.   2.2. The availability of cross practice Local Development Strategies for cities (discussed and adopted in consultations with CSOs, the private sector and with citizens).  **Indicators:**   * 1. The number of initiatives taken by local authorities for additional revenue generation, in collaboration with local stakeholders;   2. The availability of cross practice Local Development Strategies for cities (discussed and adopted in consultations with CSOs, the private sector and with citizens) | Regional and District Development Strategies  Project Reports  Regional and District Budgets  PPP schemes implemented  Budget Code amendments | Desk review  Project Document analysis  Regional Data analysis  RDS analysis  KIIs and FDGs  Interviews with project staff at the regional, district and mahalla level |
| 2.3 Has Activity Result No. 3. “Increased democratic accountability and openness of local executive and representative authorities, as well as active public participation in local decision-making” | **Baselines:**   * 1. The public has a limited voice in local government decision- making;   2. Kengashes have limited capacities to effectively carry out their oversight, representative and rule-making functions, in partnership with local stakeholders.   **Indicators:**  3.1. The frequency of public events/consultations to inform local government decisions; the quantity of feedback received from public;  3.2. The number of documented tools for the performance of public oversight, representative and rulemaking functions, fulfilled by Kengashes in cooperation with local stakeholders. |  | Desk review  Project Document analysis  Regional Data analysis  RDS analysis  KIIs and FDGs  Interviews with project staff at the regional, district and mahalla level |
| * 1. **Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost- effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project’s implementation?** | | | |
| 3.1 Activity Result 1  3.2 Activity Result 2  3.3 Activity Result 3  Monitoring Systems and by Activity Result:   * Do they provide the necessary information? * Do they involve key partners? * Are they efficient? * Do they encourage disaggregation of data (by sex, region, age, education)? * Are additional tools required?   **Risk Management**   * Are the risks identified in the project document and the ATLAS Risk Management module are the most important and whether the risk ratings applied are appropriate Are there any additional risks identified, rated managed   **Work Planning**   * Assess the use of the logical framework as a management tool during implementation and changes made to it; * Assess the use of routinely updated workplans; * Are work planning processes result-based? | Indicators: regularity, timeliness, quality, utility and adaptiveness of the reporting  Cost effectiveness of interventions, activities and actions  Work planning, risk management, gender disaggregation | Project Financial Reports  Quarterly and Six-month Project Progress Reports  Project Annual Plans Annual Review reports  Annual Project Reviews | Progress, monitoring and financial reports analysis  Comparative cost-benefit analysis with similar other donor activities  Partnership strategies assessment in problem identification and solving |
| * 1. **Sustainability: Can the project models and activities further conducted without donor support? To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?** | | | |
| 4.1 Has project contributed to establishment of efficient national institutional frameworks for promotion of local governance and decentralization reforms, delivery of public services, improvements in regional development planning and implementation, promoting transparency and accountability in local authorities?  4.2 Has capacity of local governments in pilot regions been increased in terms of: regional development planning, local partnership building; resource mobilization skills; self-advocacy skills?  4.2 Activity result 1  4.3 Activity result 2  4.4 Activity Result 3 | Indicators: the approaches, systems, models and activities are locally institutionalised, staffed, locally or nationally funded and locally monitored.  Targets of each Activity Result by Year and by End of Project  Involvement of stakeholders in design and implementation of Activities and Actions  Project risk assessment and mitigation systems | Project Reports  KIIs and FDGs  Other donor reports  Government reports and strategies monitoring | Desk review  Project Document analysis  Regional Data analysis  RDS analysis  KIIs and FDGs  Interviews with project staff at the national, regional, district and mahalla level  Systems, capacity building and relationships forged by LGSP-2 will be examined to see the sustainability aspect the project. |
| * 1. **Impact: To what extent has LGSP contributed to the welfare of men and women, youth and disadvantaged within and beyond the project scale? What models, systems and practices are replicable and have broader impact beyond the pilot regions?** | | | |
| 5.1 What are the impacts of the project? Do they have equal value for women and men beneficiaries? Project and by:  5.2 Activity Result 1  5.3 Activity Result 2  5.4 Activity Result 3 | Indicator: ideally a dedicated representative survey should be conducted or impact assessment exercise. Within the limitation of this evaluation, the forecasted impacts of the interventions by LGSP staff and beneficiary government/s and/or research centres can be assessed. Test the RIA use in Uzbekistan | Prodoc Result Matrix Report (due in June 2017)  Activity and Action Reports  Secondary sources: donor reports  KIIs and FDGs  Possibly, Regulatory Impact assessment (RIA) reports  Training Evaluation Reports | Desk review  Project Document analysis  Regional Data analysis  RDS analysis  KIIs and FDGs  Interviews with project staff at the national, regional, district and mahalla level |

**LGSP-2 RESULTS AND RESOURCES FRAMEWORK**

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| **Intended Outcome as stated in the Country Programme Results and Resource Framework:**  3.2 Outcome: Strengthening public administration at all levels that exercise efficient, accountable and inclusive governance. | | | | |
| **Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:**  Outcome 3.2 Indicator: Progress in civil service reform.  Outcome 3.2 Baseline: Comprehensive civil service reform or law on public administration adopted.  Outcome 3.2 Target: Comprehensive strategy in place for civil service reform, and a shift towards Results-Based Management. | | | | |
| **Applicable Key Result Area (from 2014-17 Strategic Plan): Institutions enabled to deliver universal access to basic services** | | | | |
| **Partnership Strategy: The Cabinet of Ministers is the implementing partner.** Other responsible parties include UNDP, the regional khokimyiats of the Djizak, Namangan and Tashkent regions, the Legislative Chamber and Senate of the Oliy Majlis, Ministry of Justice, Ministry of Economy, Ministry of Finance, Ministry of Labour and Social Protection of population, SCCITT, the State Tax Committee, the Chamber of Commerce and Industry, the Women’s Committee, Academy of Public Administration, IMCL, IFMR, ISR, NIMFOGO, Uzinfocom, UNICON, Uzbektourism, UN Women, NDI and others | | | | |
| **Project title and ID (ATLAS Award ID): Local Governance Support Programme/Phase -2 Atlas Award ID: 00088584** | | | | |
| **INTENDED OUTPUT(S)** | **OUTPUT TARGETS FOR YEARS** | **INDICATIVE ACTIVITIES** | **RESPONSIBLE PARTIES** | **INPUTS** |
| **Output: Strengthening local governance at regional and district levels to ensure accountable, inclusive and equitable local development.**  **Baselines:**  1.1. Neither central nor local authorities have methodologies for streamlining service delivery at the local level; the out-of-date law ‘On Local Government’ precludes local results- based governance and sustainable development; | **2014 (Target 1)**   * 1. Develop roadmap and methodology/policy options for the vertical functional review of public services provision is prepared and tested to integrate into multi- channel local service delivery mechanisms.   **2015 (Target 2)**   * 1. The quality of curriculum development of the Academy of Public Administration is enhanced through participatory design processes and the | **Activity result No 1: Reforming the system of public administration and strengthening the administrative capacity of local authorities and management.**  **1.1. Promote the streamlining of the multi-channel delivery of local public services, in cooperation with national and regional partners in three cities:**   * Identify public service providers in pilot regions, and conduct vertical functional reviews and/or time-studies of performance, in cooperation with national think-tanks, after conducting a feasibility study guided by an international consultant; * Development of proposals for strengthening the powers of local (regional, city and district) authorities by specifying the distribution of powers between the | The Cabinet of Ministers, the Oliy Majlis, the Ministry of Justice, the Ministry of Finance, the Ministry of Economy, the Ministry of Labour and social protection of the population, pilot regional khokimyiats, APA, WCU, IFMR, ISR, IMCL, UN  Women, SCCITT, UNICON, Uzinfocom, CCI, the Legal Problems Research Centre | Budget: $ 250,000  Project staff  Local and international consultants Publications and printing services Research and analysis IT procurement Software, Apps, website and portal development  Travel to regions  Event management services |

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| * 1. In the absence of civil service reform, there are few opportunities for local civil servants to improve their   performance;   * 1. Public access to e- government services is limited at the local level.   **Indicators:**   * 1. The government is provided with methodology/policy options for the functional review of the streamlining of public services delivery as an institutional aspect of civil service reform, and the decentralisation   /deconcentration of powers between central and local level  authorities; The government is provided with a comprehensive concept of administrative decentralisation, and  recommendations on Law ‘On Local Government’;   * 1. Curriculum | introduction of new courses (at least 2 new courses) for the civil servants of local governments, and for Master’s students.  **2016 (Target 3)**  1.1. The proposed amendments to the Law ‘On Local Government’ are submitted to the Cabinet of Ministers.  **2017 (Target 4)**  1.3. E-government tools are applied in processing documents, in the decision- making systems of local governments, and in local services, for the benefit of citizens. | republican, regional and city / district governments;   * Provide options to the government to ensure the financial sustainability of all three OSSs (Namangan, Djizak & Tashkent) under a new decision on OSS (subject to approval by the government); * Assistance in finalizing the draft Resolution of the President of the Republic of Uzbekistan on One-Stop Shops (OSS); * Support measures to ensure the continuing development of services, and quality, inclusive and equal public access for OSSs, etc.; * Train in-country capacities for rolling out the optimisation for service provision, with the aim of streamline services; * If the legal status and financial sustainability of OSSs are assured by a decision of the government, provide methodological support to assist local governments in establishing additional OSSs in areas of low internet access. Identify alternative delivery models for rural areas, e.g. small OSSs located in local government buildings, mahallas, mobile OSS, etc.; * Development of proposals to eliminate administrative and legislative barriers to entrepreneurship; * Development of proposals to improve organizational, legal and regulatory conditions to improve the regions’ attractiveness for foreign investors; * Support the development of the new |  |  |

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| development at the Academy of Public Administration, extended to local governments;  1.3. The number of users/clients (men and women) and companies using One-Stop-Shops and other e-services of local governments; the number of public services transformed into e-services. |  | version of the Law ‘On local government’;   * Conduct national and regional events on awareness-raising regarding issues of local governance reform and civil service reform, as well as the dissemination of knowledge products (brochures, bulletins, reports, info- graphics, etc.) among the public. |  |  |
| **1.2. Curriculum development for local civil servants, including skills building and knowledge building through modern learning courses and other methods:**   * Support the Academy of Public Administration to develop new, relevant courses for local civil servants (e.g. local economic development, planning & budgeting with a particular focus on what will be required to implement the new Budget Code, in cooperation with Budget Reform Project, HR management, performance evaluation, participatory monitoring, etc.); * Develop and promote offline and e- learning courses in basic human resource management, sustainable local development, performance appraisal systems, results-based management, leadership, public speaking and management skills intended for junior level and mid-level civil servants (men and women) and a Code of Conduct (ethical issues of integrity, accountability and transparency) for civil servants, with the Academy of Public Administration and other partners; * Foster local inter-municipal cooperation |

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|  |  | between local (regional/city/district) governments (in Djizak, Tashkent& Namangan), e.g. study trips to those regions, establish peer networks for people working in same functions/different areas, etc.;   * Increase national ownership and further development of the distance learning portal max.dba.uz; * Assist in developing a brief Paper together with the Academy of Public Administration on the recruitment, promotion and evaluation of civil servants at the local level; * Identify and agree with the government and the Academy of Public Administration on practical measures/recommendations to increase the participation of women in civil service over the medium to long term, including recommendations regarding recruitment, working conditions, trainings/learning opportunities, promotion, dismissal and retirement; * Prepare a concept note for a national roster of civil servants, including a quota of up to 30 per cent for qualified professional women; * Develop an educational movie on local government, regarding how to perform efficient and effective khokimyiat operations and interact with citizens and businesses, together with the Academy of Public Administration, as a part of curriculum for graduate students and short- term courses for khokims; |  |  |
|  |  | * Prepare and provide materials and articles to the e-Journal of the Academy of Public Administration. |  |  |
| **1.3. Support local public services providers to develop e-services, and transfer knowledge and know-how to pilot regions, in cooperation with the UNDP e-Government Project:**   * Support the development of mobile applications for public services at the local level; * Taking into account the international experience, assistance in the development of online public services and innovative methods of urban management in pilot regions; * Support the implementation of the concept of e-Kommunal, including the wide dissemination of results of e-billing; * Organise hackathons for local e- solutions, for accessing government services (together with UNDP e-governance project); * Assess needs, and plan and specify UNDP support for (except for the procurement of ICT) the implementation of the ‘e-Hujjat’ system in the Tashkent region with organisations training sessions for khokimyiats and ‘Regional Computerisation Centre’ staff; * Monitoring e-Hujjat application by 27 khokimyiats of the Djizak and Namangan regions, with the intention of providing recommendations for performance improvement; |
|  |  | * Support the modernisation of the website of the Tashkent regional khokimyiat; * Conduct round tables with local business entities and mahalla (neighbourhood government) leaders on the quality assessment and improvement of introduced new government services (OSS, e-Hujjat, etc.). |  |  |
| **Baselines:**   * 1. Highly centralised fiscal and public finance management does not empower local governments to seek additional sources of local revenue generation for equitable   development;   * 1. Planning strategy for the cities are sector- based, with a predominantly narrow focus on economic development;   **Indicators:**  2.1. The number of initiatives taken by local authorities for additional revenue generation, in collaboration with local stakeholders; | **2015 (Target 5)**   * 1. Policy options for the new Budget Code on empowering local governments to improve the quality of financial management, and to increase local revenue generation, are prepared and submitted to pilot regional khokimyiats and Cabinet of Ministers.   **2016 (Target 6)**   * 1. A cross practice Local Development Strategy for cities is developed through consultative processes, and tested and used by local administration for planning purposes. | **Activity result No 2. Empowered local governments for equitable development/ local accountability, and for better quality and transparency of financial management regarding the planning and performance of local budgets.**  2.1. Support the strengthening of the capacity of local governments regarding financial management and fiscal transparency:   * Participation in the legal experiment regarding the Budget Code of local budgets; * Organise trainings for local government staff regarding financial management, based on international experience and in line with the priorities set forth in the new Budget Code (in cooperation with the UNDP Budget Reform Project); * Development of proposals for optimizing the tax burden on individuals and legal entities; * Develop draft legal acts regarding the planning of local budgets and fiscal transparency, together with the Ministry of | The Cabinet of Ministers, the Ministry of finance, the Ministry of Economy, the State Tax Committee, Senate, the Budget Committee of the Legislative Chamber of the Oliy Majlis, MFERIT, regional khokimyiats, APA, CCI, SCCITT,  Uzinfocom, GIZ, Uzbektourism, IFMR, ISR, NDI, and UN  Women | Budget: $ 250,000 Research and analysis Travel to regions  Event management services  Seed funding (subject to availability of funds) |

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| 2.2. The availability of cross practice Local Development Strategies for cities (discussed and adopted in consultations with CSOs, the private sector and with citizens); |  | Finance and the State Tax Committee.  2.2. Support cities (including Djizak, Namangan and Angren), to develop and to implement Local Development Strategies:   * Consolidate lessons learned from the development of Local Development Strategies in the Djizak and Namangan cities, and support connecting the strategy with the mid-term planning and financing of local budgets; * Cooperate with UNDP’s Social Innovation and Volunteerism in Uzbekistan and Inclusive Employment and Social Partnership projects, as well as UN Women, to integrate the involvement of volunteers, local CSOs and private sector into Local Development Strategy planning and implementation exercises, to replicate and develop a concept of inclusive social enterprises, and to strengthen local opportunities for the participation of women in both private business and local governance; * Support the development of monitoring mechanisms for strategies, including the involvement of CSOs and citizens to report on progress; * Facilitate cooperation with other UNDP projects working on poverty reduction, social protection, energy efficiency, integrated land management, water management, and environmental sustainability and other projects having linkage to Local Development Strategies. |  |  |

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|  |  | * Cooperate with UNDP Project on National Biodiversity Planning to Support the Implementation of the Convention for Biological Diversity (CBD) 2011-2020 Strategic Plan in Uzbekistan (EA-CBD) on following:   + A joint feasibility study of areas subject to protected zones (Zapovedniki, National Parks, etc.);   + Technical advice and practical solutions to local governments, local businesses and communities on how to consider local ecosystem sustainability, biodiversity issues and nature preservation while planning and implementing business plans and commercial projects (local road and housing construction can also be an option) in pilot regions, based on expertise, methodologies and recommendations of Biodiversity project experts. * In cooperation with the UNDP-GEF ‘Small Grants Programme’, elaborate and publish information materials regarding biodiversity and energy efficiency, etc.; * Facilitate the development and dissemination of annual monitoring reports and annual public monitoring meetings, to present and discuss progress; * Assist in the dissemination of reports & outcomes of meetings to traditional media, websites and social media sites; * Facilitate the implementation of the tourism development programme in the |  |  |

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|  |  | Tashkent region, with the participation of the civil society and private sectors;   * Development of proposals to eliminate administrative and other barriers to the development of rural/sustainable tourism; * Development and dissemination of an informational toolkit on Rural Tourism Development, in cooperation with GIZ, national and regional partners; * Dissemination of best practices of Zaamin district branding and marketing strategy in the Tashkent region and other regions of the country. |  |  |
| **Baselines:**   * 1. The public has a limited voice in local government decision- making;   2. Kengashes have limited capacities to effectively carry out their oversight, representative and rule-making functions, in partnership with local stakeholders.   **Indicators:**  3.1. The frequency of public events/consultations to inform local government decisions; the quantity of feedback received from public; | **2016 (Target 7)**   * 1. Regular (at least twice a year) public consultations with local stakeholders are conducted in accordance with the annual plans of local governments.   **2017 (Target 8)**   * 1. A plan of actions of pilot Kengashes level (at the regional level, and the Djizak and Namangan cities), is adopted and implemented in order to perform oversight, representative and rulemaking functions. | **Activity result No. 3. Increased democratic accountability and openness of local executive and representative authorities, as well as active public participation in local decision-making**  3.1. Support open and accountable local executive and representative authorities:   * Provide training and facilitation to ICs to support their confidence, and skills to run town hall meetings (with at least 30 per cent of participants being women) in Tashkent region; * Develop concept note on introducing open data together with UNDP e- governance project; * Assistance in the implementation of the Law of the Republic of Uzbekistan "On the openness of public authorities and management “; * Support the khokimyiat of the Tashkent region in developing an annual plan for | The Cabinet of Ministers, the Senate, regional khokimyiats and Kengashes, NIMFOGO, CCITT, NANNOUZ, ISR, NDI,  APA, the International Training Centre for Journalists, and the Legal Problems Research Centre. | Budget: $ 200,000 Project staff  Local and international consultants Publications, branding and printing services Research and analysis Travel to regions  Event management services |

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| 3.2. The number of documented tools for the performance of public oversight, representative and rulemaking functions, fulfilled by Kengashes in cooperation with local stakeholders. |  | town hall meetings on key topics (including budgets, and major investments). Organize thematic meetings, with direct access to citizens, CSOs and selected experts/officials. Promote the participation of the youth, and the equal representation of women. Include open Q&A sessions;   * Build the capacities of the mass media to highlight the issues of local governance and local development, including four to five talk-shows on public administration and local development on central TV Channels, thematic discussions, and publication in media and related outlets; * The monitoring of six Local Government Information Centres in the Djizak and Namangan regions with a view to provide recommendations for regional khokimyiats regarding the improvement of two-way communication with citizens, CSOs and mass media; * The replication of the experience of Local Government Information Centres in other regions of Uzbekistan as per the request and commitment for national ownership by regional authorities, after the enactment of the Law ‘On Transparency of State Authorities and Agencies’; * Development of the draft legal act to implement an effective system of monitoring and evaluation of local government; * Development of the draft legal act and the Regulations on Transparency rules on admission to vacant positions of civil |  |  |

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|  |  | servants;   * Development of appropriate regulatory act and regulations to implement the system of performance evaluation of civil servants; * Development of Concept on personnel reserve for the central and local governments (including the 30% quota for female professionals and managers).   **3.2. Support Kengashes to exercise more effective oversight, representative and rulemaking functions in a participatory manner by CSOs:**   * Conduct needs assessment of selected Kengashes to develop capacity development strategy, both organizational and individual (including ex officio support mechanisms for Kengashes); * Analyse and address the specific training needs of Kengash members connected with the implementation of a new Budget Code, in cooperation with Budget Reform Project; * Identify and deliver actions to support the effectiveness of Kengashes, set of trainings, provision of research/support staff, an office or room for a library, documents, computer/internet access, training for researchers and other services, and agreements with respective khokims; * Advocacy opportunities to assist government and experts in identifying solutions for the democratic accountability of both appointed and elected local authorities, including publications, expert |  |  |
|  |  | seminars, workshops, conferences and roundtables;   * Provide the government with policy options to design a concept in which ministries/agencies are responsible for local government development, as based on international experience; * Development of proposals to improve the accountability of local authorities to the local Kengashes and the public; * The development and dissemination of an educational movie to Local Kengashes, regarding how to effective perform their functions, and to interact with the public, together with the Academy of Public Administration for Kengash deputies. |  |  |

# Annex 3 – Confidentiality Protocols and Discussion Guide

In addition to secondary data from the project and other sources, the SHOPS II evaluation team has proposed several data collection instruments, including:

1. **Coversheet for all protocols.** This coversheet comprises of an introduction to the evaluation and a confidentiality protocol. In addition, the ages, numbers, and gender of the participants will provide information on the extent to which females have been included in the interviews. The verbal consent to be interviewed will be noted.
2. **Interview schedules.** Questionnaires will be developed for the various informants to be contacted by the evaluation team. These include the following categories:
   1. UNDP and Government Partners: The KII / Standard Questions tool will be administered to key informants identified among UNDP and Government Partners at the national and regional level.
   2. Citizens/Service users/Beneficiaries: A modified KII / Standard Questions tool will be administered to key informants in the LGSP regions and districts.
   3. LGSP Collaborators and Partners: Separate questionnaires will be administered to these two groups.
3. **Beneficiaries Focus Group schedule:** The evaluator will conduct FGDs with LGSP-2I stakeholders focusing on one or many of the evaluation questions. An emphasis will be placed on pre-mobilisation to make sure participants will be available. When mobilising participants, it will be clarified that they will receive no financial compensation or transportation reimbursement.

**Coversheet for All Protocols**

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| **Date of Interview:** | **Interviewee Name, Title:** |
| **Project Component:** | **Time Start: Time End:** |
| **Interviewer(s):** | **Location** |
| **Category of Interviewee: Age Group:** | |
| **No. of Interviewees \_\_\_\_\_\_\_\_\_\_\_ M \_\_\_\_\_ F\_\_\_\_\_\_** | |

**Introduction:** Good morning/afternoon and thank you for taking the time to speak with us today. As mentioned during our interview request, I am working with UNDP Uzbekistan as an external evaluator to conduct an independent final performance evaluation of the Local Governance Support Project Phase I2 (LGSP-2). The evaluation is expected to: (I) analyse the overall the project’s progress; (ii) identify lessons learned related to the project’s achievements and constraints; and (iii) make recommendations on the way forward.

I have had the opportunity to review some background documents to get a better sense of the design and implementation of the project. However, these documents can only tell us so much. I would like to speak with you today to hear about your experience and in your own words; this will help us better understand how the project is viewed and felt from the perspective of its beneficiaries. If you agree to participate, this discussion will last approximately 1hour.

**Confidentiality Protocol**

* We will collect information on individuals’ names, organizations, and positions. A list of key informants will be made available as an annex to the final evaluation report, but those names and positions will not be associated to any specific finding or statement in the report. However, please keep in mind that while responses will be kept confidential, if you contribute something that only you or your office could comment on, that may then be recognizable.
* We may include quotes from respondents in the evaluation report, but will not link individual names, organizations, or personally identifiable information to those quotes, unless express written consent is granted by the respondent. Should the LGSP team desire to use a quote, photograph, or identifiable information in the report, we will contact the respondent(s) for permission to do so.
* All data gathered will be used for the sole purposes of this evaluation, and will not be shared with other audiences or used for any other purpose. However, if at any time, you do not feel comfortable answering a question, please let us know and we will simply go on to the next question. To ensure all useful information are captured for analysis; with your permission, I would be recording this interview.
* Your participation in this interview is voluntary and you will not be receiving any compensation for your time.
* Should you have additional questions about this interview, please contact \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

Once again, thank you for taking the time to speak with us today. Do you have any questions for us before we get started?

Verbal consent given? Yes/No\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Discussion Guide and Interview/FDG Questions**

***Project Formulation***

Scope and focus

* How do you know about the LGSP Project? What is your role in the project?
* What are according to you the LGSP Project objectives?
* How do these objectives relate to the local or national policy?
* Is the scope of the LGSP Project formulated wide enough for you to achieve what you want?
* Is the focus of the Project objectives specific enough for your project to contribute to?
* What, if any, would be your recommendations to improve the scope and focus of the LGSP Project?

Other

* What else would you like to mention in relation to the LGSP Project?

***Project Implementation***

Task management

* What is your opinion on the involvement of UNDP representatives in your country, in your project?

Project management

* Is there a plan for project activities to come?
* In what way could project management get more support?

Project and project performance in practice

* Do you find the project to be successful? Why?
* In what way does this project make a difference, why is this project needed?
* What are the project objectives?
* How does the project fit within national/local policies and how is it supported by those policies?
* How could the project achieve more with the same project budget?
* What more would be achieved if the project budget was bigger?
* What will happen after the project has ended?

External partnerships concept in practice

* What are the professional skills that have improved, thanks to the project?
* What other skills need improvement as well?
* What do you find to be the challenges and advantages of working with an external partner?

Beneficiary ownership and absorption capacity in practice

* What are the local investments in this project, both from the private and public sector?
* What is the role of local staff in project management?
* Who will be the owner after the project has ended?

Outreach to MSMEs

* How many poor directly benefit from you project? Not just in terms of skills development, but also in terms of support results and services provided.
* Does the project do enough for the Poor? Women? Disadvantaged? SMEs? or could it do more?
* How could the project do more for these categories that it is currently supporting?
* How could the project reach a larger audience?

Project ambitions versus performance and impact

* What are the concrete goals of the project to achieve its objectives?
* Do you find those objectives and goals too modest, too ambitious or just right?
* Do all project activities contribute to achieving these goals, or are some of them unnecessary?
* Are there any missing activities that you would like to include in this project so that it will perform better?

Other factors positively/negatively affecting the project outcome

* What are the most important elements in the project that hinder or support its performance?
* And what factors outside the project hinder or support the project most?

Expected sustainability

* Please share with us your views on the future of the project activities after the project will have ended.
* Do other stakeholders share these views? Who?
* Are these views for the moment still just ideas or are they plans or are they firm agreements on paper?

LGSP objectives sufficiently and insufficiently addressed

* What are the things that the project does NOT do – and that it is not supposed to do – that would contribute to achieving the overall objectives of the LGSP Project?

Other

* What else would you like to mention in relation to the subject of Project Implementation?

***LGSP Programme and Project Communication***

Publicity

* How did you find out about the LGSP Project?
* Have you visited the project website? Received project materials? Participated in Project events?
  + How could the content of information be improved?
  + How could the lay-out and presentation of information be improved?
  + How could the dissemination of information be improved (more copies, organising more or different events, involvement of local NGO and CSO groups, use of local publicity agency etc.)?
* How could the mix of different media (e-mail, internet, brochures, local printed media, radio, television, in-country road shows etc.) be improved?

# Annex 4 - List of People Met and Focus Groups Participants

|  |  |  |
| --- | --- | --- |
| Name | Position | Organisation |
| 1. Ms Kamila Mukhamedkhanova | Cluster Team Leader | UNDP CO, Good Governance, Policy and Communication Cluster (GGPCC) |
| 1. Mr Azizkhon Bakhadirov | Programme Analyst on Rule of Law | UNDP CO, GGPCC |
| 1. Mr Laziz Tursunov | Programme Associate on Public Policy | UNDP CO, GGPCC |
| 1. Ms Oksana Remiga | Programme Specialist, Local Governance and Decentralisation;  Governance and Peacebuilding | UNDP Istanbul Regional Hub, Regional Bureau for Europe and CIS |
| 1. Business card not presented | Sustainable Development and Economic Cluster | UNDP CO |
| 1. Ms Dilfusa Nabieva | Resource Mobilisation Unit | UNDP CO |
| 1. Mr Dilshod Isroilov | Project Manager of the Local Governance Support Programme Phase-2 (LGSP-2) | UNDP, LGSP-2 |
| 1. Mr Mukhammadjon Tursunov | Economist | UNDP, LGSP-2 |
| 1. Mr Orzimurad Gaybullaev | Task Manager on Local Governance | UNDP, LGSP-2 |
| 1. Mr Mirzokhid Karshiev | Capacity Development Specialist | UNDP, LGSP-2 |
| 1. Mr Rustam Rakhimov | PR Specialist | UNDP, LGSP-2 |
| 1. Mr Oybek Yahshiev | Administration and Finance Assistant | UNDP, LGSP-2 |
| 1. Mr Olimjon Akulov | Project Assistant, DDjizak Region | UNDP, LGSP-2 |
| 1. Mr Sardor Karimov | Project Assistant, Namangan Region | UNDP, LGSP-2 |
| 1. Mr Fazliddin Umarov | Driver and Informal Culture, Ways and Customs Advisor | UNDP, LGSP-2 |
| 1. Mr Bunyod Avliyokulov | Project Manager | UNDP, e-Government for Improved Public Services Delivery Project |
| 1. Mr Ilkhom Khamidov | Task Manager on Legal Issues | UNDP, e-Government for Improved Public Services Delivery Project |
| 1. Mr Bahodir Bekov | Project Manager | UNDP, Business Forum of Uzbekistan Phase-III Project |
| 1. Mr Kamal Khamidov | Team Leader on Community Resilience Building | UN Joint Programme “Building Resilience of Communities Affected by the Aral Sea Disaster Through the Multi-artner Human Security Fund for the Aral Sea” |
| 1. Mr Alexey Volkov | National Coordinator | UNDO CO, The Global Environment Facility’s Small Grant Programme in Uzbekistan |
| 1. Mr Radim Valenchik | Local Governance Expert | UNDP Consultant, Czech Republic |
| 1. Mr Chris Allan | HM Ambassador | British Embassy Tashkent/FCO |
| 1. Ms Nargiza Abdukadirova | Deputy Head of Political and Public Diplomacy Section | British Embassy Tashkent |
| 1. Ms Evelina Artikova | Programme and Projects Officer | British Embassy Tashkent |
| 1. Ms Sandrine Petroni | Programme Officer | EU Delegation in Uzbekistan |
| 1. Mr Farkhodjon Toshpulatov | Head of Division | Cabinet of Ministers of Uzbekistan, SIAD |
| 1. Mr Tolibjon Madumarov, | Chairman of the Commission, Deputy Chair of legislative and Judicial Committee | Senate Commission for Development and Facilitation of Local Representative Bodies |
| 1. Mr Botir Matmuratov | Chairman of Legislation and Judiciary Committee | Senate Legislation and Judiciary Committee |
| 1. Ms Sayora Baratova | Commission Secretary, Senator | Senate Commission for Development and Facilitation of Local Representative Bodies |
| 1. Mr Aziz Abdukhakimov | Minister | Ministry of Employment and Labour Relations of Uzbekistan |
| 1. Mr Murod Rasulov | Deputy Director | Republic of Uzbekistan E-GOVERNMENT Centre |
| 1. Mr Ilkhom Khalpaev | Head of Department | Ministry of Justice of Uzbekistan, Department of Economic Legislation |
| 1. Mr Nodir Jumaniyozov | Head of Division | Ministry of Justice, International Legal Department |
| 1. Mr Mirmukhsin Sultanov | Lead Economist | Ministry of Finance, Department for Coordination, Registration and Control of Purposeful Use of Humanitarian Aid and Technical Assistance Funds |
| 1. Mr Kurbanmurad Toparov | Head of Territorial Finance Department | Ministry of Finance |
| 1. Mr Sanjar Mukhamedov | Head of Interbudgetary Relations Division | Ministry of Finance |
| 1. Mr Jamshid Suleymankulov | Head of Complex Territorial Development Department | Ministry of Economy |
| 1. Ms Yulduz Abduganieva | Head of Consumer Basket Forecasting | Ministry of Economy |
| 1. Mr No business card | External Relations Department | Ministry of Economy |
| 1. Mr Adkham Bekmuradov | Acting Rector | Banking and Finance Academy |
| 1. Ms Nazira Dadakhanova | Deputy Chairperson | Chamber of Commerce and Industry of Uzbekistan |
| 1. Mr Farrukh Omonov | Head of Business Development Department | Chamber of Commerce and Industry of Uzbekistan |
| 1. Mr Agzam Mukhitdinov | Chief Executive Officer | Zayd Group ICT company |
| 1. Mr Ulugbek Mustafoev | First Deputy Governor | Djizak Regional Administration |
| 1. Mr Akram Rakhmonkulov | Mayor | Djizak City Administration |
| 1. Ms Nazira Mukhtarova | Deputy Mayor, Youth, Social issues | Djizak City Administration |
| 1. Ms Halima Negmotva | Deputy Mayor, Women’s Committee | Djizak City Administration |
| 1. Ms Mamura Yakubova | Head of Information Center | Djizak City Administration |
| 1. Mr Abulkasim Akhmedov | Head of Information Center | Djizak Region Administration |
| 1. Mr Tolibjon Ergashev | Head of Computerization Center | Djizak Region Administration |
| 1. Mr Olim Sattarov | Head of Consolidated Economic Department | Djizak Region Administration |
| 1. Ms.Nodira Alimov | Head of secretariat, Women’s Committee | Djizak regional Administration |
| 1. Mr Kh. Abduvokhidov | Deputy Head of Consolidated Department for Complex Territorial Development | Djizak Region Administration |
| 1. Mr Zafar Aliboev | Deputy Head of Finance Department | Djizak Region Administration |
| 1. Mr Kodir Rizaev | First Deputy of Mayor | Zafarabad District Administration |
| 1. Mr.Odiljon Musanov | Head of Consolidated Department for Complex Territorial Development | Zafarabad District Administration |
| 1. Mr.Abbadbek Eshkuvvatov | Main specialist of organizational-controlling group | Zafarabad District Administration |
| 1. Mr. Murodkosim KHaydarov | Head of center | Zafarabad One-Stop-Shop |
| 1. Mr.Sheroziy Juraev | First Deputy of Mayor | Zaamin District Administration |
| 1. Mr.Urazali Berdibekov | Head of Information Center | Zaamin District Administration |
| 1. Mr.Bakhtiyor Kattabekov | Head of center | Zaamin One-Stop-Shop |
| 1. Ms Marguba Ergasheva | Tour Guide | Zaamin District |
| 1. Ms Aynura Mambetova | Guest house owner | Zaamin District |
| 1. Mr Urozboy Esirgapov | Guest house owner | Zaamin District |
| 1. Mr Akmalkhon Ortikov | First Deputy Governor | Namangan Region Administration |
| 1. Mr Odiljon Mamadaliev | Head of Consolidated Management for the Integrated Development of Territories | Namangan Region Administration |
| 1. Mr Saidakhmad Sultanov | Deputy Mayor | Namangan City Administration |
| 1. Mr Bakhtiyor Akhunbabaev | Head of Computerisation Centre | Namangan Region Administration |
| 1. Mr Shukhrat Musaev | Head of Information and Analysis Group | Namangan Region Administration |
| 1. Ms Farhod Mamadaliev | Head of Information Service | Namangan Region Administration |
| 1. Mr Khoshimjon Gaybullaev | Head of Department | Namanagan Administration |
| 1. Mr Sh. Musaev | Head of Department | Namanagan Regional Administration |
| 1. Mr U. Rakhimov | Head of Department | Namanagan Regional Administration |
| 1. Mr Z. Bakhriddinov | Deputy Head of Finance Department | Namangan Region Administration |
| 1. Mr U. Rakhimov | Head of Unit, Department of Finance | Namangan Regional Administration |
| 1. Mr Madrahimov Dilmurod | Expert on OSS of Namangan region Justice Department | Namangan Region |
| 1. Mr. Turdaliev Kamoldin | Head of the OSS of Mingbulak district | Namangan Region |
| 1. Mr R.Berishev | Head of the information center of Namangan | Namangan City Administration |
| 1. Mr. Nosirjon Ahmedov | Head of OSS Namangan | Namangan City |
| 1. Mr B.Jalilov | Entrepreneur Support Centre | Namanagan |
| 1. Mr N.Halimov | Entrepreneur Support Centre | Namangan |
| 1. Mr Ya. Zaitov | Deputy Head of the finance department of Namangan city | Namangan City Administration |
| 1. Ms U. Juraboeva | Former Head of Information Center | Namagan Region Administration |
| 1. Mr.T. Rapikov | Deputy Head | Namangan Region, Mingbulak District |
| 1. Mr. Olim. Ahmedov | Deputy Head | Mingbulak District Administration |
| 1. Mr. Hakimov Zafar | Specialist | Mingbulak District Administration |
| 1. Mr. Turdaliev Kamoliddin | Head of OSS | Mingbulak District One Stop Shop (OSS) |
| 1. Mr, A.Dedakhanov | Specialist (disabled) | Mingbulak District OSS |
| 1. Mr. A.Holiqov | Specialist | Mingbulak District OSS |
| 1. Mr Botir Turayev | First Deputy Governor in charge of economic and entrepreneurship affairs | Tashkent Regional Administration |
| 1. Mr Kh. Kodirov | Deputy of Consolidated Territorial Development Department | Tashkent Regional Administration |
| 1. Mr S. Muzaffarov | Computerisation Centre, Director | Tashkent Regional Administration |
| 1. Mr B. Turabekov | Chief Specialist of the Secretariat for Economic Development and Entrepreneurship | Tashkent Regional Administration |
| 1. Mr. B. Egamov | Lead Specialist of the Secretariat for Economic Development and Entrepreneurship | Tashkent Regional Administration |
| 1. Mr Kh. Fayzullaev | Lead Specialist of Organisation and Control Group | Tashkent Regional Administration |
| 1. Mr. no business card | Deputy Head of Economy Department | Tashkent Regional Administration |
| 1. Mr Rustam Kasimov | Rector | Academy of Public Administration |
| 1. Mr. No business card | International Projects Manager | Academy of Public Administration |

**List of participants of the focus group meeting of international consultant O. Moreva, Namangan region.**

***Small hall of regional administration (khakimiyat) of Namangan region June 9, 2017***

|  |  |  |
| --- | --- | --- |
| # | Full name | Place of work |
| 1 | A. Ortikov | First Deputy of Namangan regional administration |
| 2 | U. Rakhimov | Administration of Namangan region the head of secretariat of economic development |
| 3 | M.Mamatkarimov | Administration of Namangan region the head of secretariat of social development |
| 4 | Sh.Musaevsaev | Administration of the Namangan region – head of the analytical department |
| 5 | B.Akhunbabaev | Head of Center for computerization of the Namangas region administration |
| 6 | Kh.Akhunbabaev | Leading specialist of Center for computerization of the Namangas region administration |
| 7 | Sh.Kenjabaeva | Namangan Polytechnic University |
| 8 | Z. Bakhriddinov | Deputy Head of Finance Department |
| 9 | M.Maksudov | Namangan State Pedagogical Institute |
| 10 | Y.Ishanov | Regional Department of the Ministry for Information Technology and Communications Namangan region |
| 11 | Z.Mansurov | Head of the Regional management of press and information |
| 12 | T.Shukurov | Head of the chamber and commerce of Namangan region |
| 13 | I.Kirgizbaeva | The head of Namangan city society of persons with disabilities |
| 14 | R.Gulomov | Department of secondary special education of the region |
| 15 | S.Pulatov | Regional Department of Labor of Namangan region |
| 16 | A.Madumarov | Regional Department of Culture and Sports of Namangan region |
| 17 | M.Ubaidullaev | Fund "Nuroniy" |
| 18 | I.Nazhmiddinov | "Mahalla" charitable foundation |
| 19 | L.Abdukhalimova | Association of Business Women "Tadbirkor ayol" |
| 20 | Elmurod Ruziboev | Independent Institute for Monitoring the Formation of Civil Society |
| 21 | D.Sayfuddinova | Foundation "Red Crescent" |
| 22 | A.Artikova | Fund "Soglom Avlod uchun" |
| 23 | R.Sobilzhonov | Head of the Finance Department of the city of Namangan |
| 24 | A. Abduvaliyev A | Regional branch of the National Complex "Uzbekturizm" |
| 25 | A.Kodirova | Head of the "Memorlar” Union |
| 26 | H. Gaibullayev | Representative of the mahalla "Dambog" of the city of Namangan |
| 27 | D.Karimova | Representative of the mahalla "Margilon" of the city of Namangan |
| 28 | H.Lutfillaeva | The representative of the mahalla "Uchariq" Namangan |
| 29 | B.Sarimsokov | Representative of the Turan mahalla in the city of Namangan |
| 30 | O.Adasheva | Representative of the "Ittifok" mahalla in the city of Namangan |
| 31 | L.Ahmedova | The newspaper "Namangan Haqiqati" |
| 32 | I.Allaeva | The newspaper "Namangan Pravda" |
| 33 | R.Berishev | Head of Information Centre of Namangan city administration. |

***Total: 33 participant; 11 women; 22 men; 33% women; 18 – NGOs, media and local self-government – 15***

**List of participants of the meeting of international consultant O. Moreva with population groups of Djizak region.**

**Djizak, 8 June 2017**

|  |  |  |
| --- | --- | --- |
| # | Full name | Place of work |
| 1 | H .Negmatova | Deputy Khokim of Djizak city |
| 2 | N.Nurillaeva | Head of the General Department of Djizak city administration |
| 3 | V.Ilyosov | Head of the social department of Djizak city administration |
| 4 | B. Mamajonov | The deputy of the Djizak City Council of People's Deputies |
| 5 | B.Ibodov | The deputy of the Djizak City Council of People's Deputies |
| 6 | B.Eshonkulov | The deputy of the Djizak City Council of People's Deputies |
| 7 | O.Suvonov | The deputy of the Djizak City Council of People's Deputies |
| 8 | D.Hakimova | The deputy of the Djizak City Council of People's Deputies |
| 9 | M.Tojiboeva | Charitable Foundation "Mahalla" |
| 10 | H.Mamatkulov | Fund "Nuroniy" |
| 11 | N.Tugalova | Business Women Association "Tadbirkor Ayol" |
| 12 | N.Mamayusupova | The head of the Women's Counselling Center |
| 13 | M.Yakubova | Head of Information center of the Djizak city administration |
| 14 | I.Ishankulov | Specialist of Information center of the Djizak city administration |
| 15 | R.Ahmedov | The head of Djizak city society of persons with disabilities |
|  | **Mahalla advisers and activists** | |
| 16 | Khalilova Gulchekhra | A.Navoiy mahalla |
| 17 | Turmuhammedova Riski | Toshlok mahalla |
| 18 | Mamadiyeva Nasiba | Turon mahalla |
| 19 | Razzokova Lola | Ucharik mahalla |
| 20 | Toshpulatova Markhamat | Uratepalik mahalla |
| 21 | Zokirova Dilfuza | Ravallik mahalla |
| 22 | Kurbonova Ulsinoy | Hayraobod mahalla |
| 23 | Shoykulova Nasiba | Tinchlik mahalla |
| 24 | Halikova Gulchehra | Ittifok mahalla |
| 25 | Inomova Hursanoy | Yoshlik mahalla |
| 26 | Nishonova Oftob | Olmazor mahalla |
| 27 | Bobokulova Gulnora | Zilol mahalla |
| 28 | Tamara Toshmatova | Okkurgonlik mahalla |
| 29 | Asrorova Jamila | Kaliya mahalla |
| 30 | Isokjonova Bahti | Djizaklik mahalla |
| 31 | Begnazarova Latofat | Kassoblik mahalla |
| 32 | Rajabova Shahnoz | Sayiljoyi mahalla |
| 33 | Holmurodova Dilbar | Shodlik mahalla |
| 34 | Ganiyeva Gulbahor | Navruz mahalla |
| 35 | Okhunova Matluba | Obod mahalla |
| 36 | Saidmurzaeva Rayhona | Kimyogar mahalla |
| 37 | Aliyeva Guljahon | Bobur mahalla |
| 38 | Tugalova Sayyora | Madaniyat mahalla |
| 39 | Murotkulova Guljamol | Zargarlik mahalla |
| 40 | Mamashukurova Gulbahor | Sayhon mahalla |
| 41 | Oripova Gulnora | H.Olimjon mahalla |
| 42 | Mirahmedova Qandolat | Ulugbek mahalla |
| 43 | Mamayusupova Zulayho | Jilli-Gulli mahalla |
| 44 | Hidoyat Saidova | Dustlik mahalla |
| 45 | Soibnazarova Ashura | Bunyodkor mahalla |
| 46 | Orif Shukurov | Head of city department former Youth Movement “Kamolot”(present Union of Youth) |
| 47 | A.Julmatov | Djizak city TV journalist |
| 48 | U.Nishonova | Djizak city TV journalist |
| 49 | D.Bektemirova | Djizak city TV journalist |
| 50 | S.Sigbatullin | Newspaper “Djizak ovozi” |
| 51 | G.Matkarimov | Newspaper “Djizak ovozi” |

***Additionally 15 activists of Djizak city Union of Youth and 5 socially vulnerable citizens with disabilities were participated during the meeting.***

***Total: 71 participant; 39 women; 31 men; 56% women; 46 – NGOs, media and local self-government – 64%***

# Annex 5 - List of Documents Reviewed

| **Description** | **Date/Period** | **Received/Status** |
| --- | --- | --- |
| **LGSP-1 Project Documents** |  |  |
| LGSP-1 Project Document, Eng, Rus | 24.02.2010 |  |
| LGSP-1 Project Progress Report, Eng | 2012 |  |
| LGSP-1 Final Project Review Report | 2013 |  |
| Final Evaluation Report | Dec 2013 |  |
| Final Report Fiscal Decentralisation | 17.09.2012 |  |
| **LGSP-2 Project Reports:** |  |  |
| Annual Report, Eng | January-December 2014 | 05/17 |
| Annual Report, Eng | January-December 2015 | 05/17 |
| Annual Report, Eng | January-December 2016 | 05/17 |
| Six Month Report | January-June 2017 | Draft Russian version (not Atlas) received on 3/7/17 |
| Draft Results Matrix, Rus | Years 2014-2017 | Received on 30/06/17 |
| Project Action Plan, Rus | 2014 |  |
| Project Action Plan, Rus | 2015 |  |
| Project Action Plan, Rus | 2016 |  |
| Joint Work Plan Governance | 2016-2017 |  |
|  |  |  |
| Project Financial Reports and Budgets 2014-201 |  |  |
| Annual Work Plan and Budget, Eng | 27 July 2014 |  |
| Annual Work Plan and Budget, Eng | 2015 |  |
| Annual Work Plan and Budget, Eng | 14.12.2016 |  |
| Annual Work Plan and Budget, Eng | 24.01.2017 |  |
| Combined Delivery Report (CDR) 2014 signed by NPC | 05.03.2015 |  |
| CDR 2015 signed by RR and NPC | 25.03.2016 |  |
| Information on Budget Delivery, Rus | 29.12.2014 |  |
| Information on Budget Delivery, Rus | 19.04.2016 |  |
| Info on Budget Delivery and Projection 2017, Eng | 30.06.2017 |  |
| LGSP Budget Amount in Details, Eng | 30.06.2017 |  |
| Information on Project Results in 2016 and Plans for 2017, Eng | 05.15.2017 |  |
| LGSP Summary, Rus | 05.15.2017 |  |
| Joint Action Plan APA-UNDP, Eng, Rus | 2014 |  |
| Joint Action Plan APA-UNDP, Eng, Rus | 2015 |  |
| Action Plan Namangan Region-LGSP, Eng, Uzb | 2015 |  |
| Action Plan Namangan Region-LGSP, Eng, Uzb | 2016 |  |
| Action Plan Namangan Region-LGSP, Eng, Uzb | 2017 |  |
| Action Plan Djizak-LGSP | 2015 |  |
| Action Plan Djizak-LGSP | 2016 |  |
| Action Plan Djizak-LGSP | 2017 |  |
| Action Plan Kengash Tashkent, Eng | 2014 |  |
| Joint Action Plan Tashkent Region, Eng, Uzb | Apr 2014; Aug 2014 (approved by Khokim) |  |
| Action Plan Kengash Tashkent Region, Eng, Rus | 2015 |  |
| Action Plan NIMFOGO, Rus, Eng | 2014 |  |
|  |  |  |
|  |  |  |
| Approval of LGSP Phase 2 by PM Mirziyoev | 06.06.2013 |  |
| ICWG Meeting Minutes, Eng, Rus | 27.02.2014 |  |
| ICWG Meeting Minutes, Eng, Rus | 20.11.2014 |  |
| ICWG Meeting Minutes, Eng, Rus | 14.04.2015 |  |
| ICWG Meeting Minutes, Eng, Rus | 29.10.2015 |  |
| ICWG Meeting Minutes, Eng, Rus | 16.12.2015 |  |
| ICWG Meeting Minutes, Eng, Rus | 24.11.2016 |  |
|  |  |  |
| Djizak Region Resolution on Information Service Establishment | 18.06.2014 | 24.05.2017 |
| Djizak Region Action Plan for Complex Development of Djizak Region in 2017-2021 | 2016 | 24.05.2017 |
| Djizak Region, Social and Economic Indicators 2010-2016 |  | 23.06.2017 |
| Project Study Tours agendas and materials |  |  |
|  |  |  |
| Regional Media Plans |  |  |
|  |  |  |
| UN Development Assistance Framework (UNDAF) Uzbekistan | 2010-2015 |  |
| Country Programme Document (CPD) Uzbekistan | 2010-2015 |  |
| UNDAF Uzbekistan | 2016-2020 |  |
| CPD Uzbekistan |  |  |
| Evaluation Policy of UNDP 2011 | Update 2016 |  |
| UNDP Evaluation Norms and Standards 2011; | Update 2016 |  |
| UNDP Handbook on Planning Monitoring and Evaluating for Development Results | Editions 2009, 2011 |  |
| UNEG’s “Integrating Human Rights and Gender Equality in the Evaluations” Document | 2014 |  |
| UNEG Quality Checklist for Evaluation Terms of Reference and Inception Reports | 2010 |  |
| UNEG Quality Checklist for Evaluation Reports | 2010 |  |
| Prodoc Template-2017 | 2017 |  |
| UNDP Strategic Plan 2014-2017 | 2014-2017 |  |
| UNDP Strategic Plan 2018-2020 | Zero Draft, 2018-2020 |  |
| UN RC/UNDP RR: 100 Results 2013-2017, Eng | 05.29.2017 |  |
| UNDP Guide to Measuring Local Governance, https://localdemocracy.net/2013/12/18/undp-measuring-local-governance/ |  | Download on 1.6.17 |
| UNDP Primer: Capacity Development | 2009 |  |
| A Guide to Local Governance and Decentralization: Programme Experiences and Strategies from a UNDP E-Discussion”, UNDP  (draft 2008)  “Decentralized Governance for Development – A Combined Practice Note on Decentralization, Local Governance and Urban/Rural  Development”, UNDP, 2004  “Decentralized Governance for Development – A Combined Practice Note on Decentralization,Local Governance and Urban/Rural  Development”, UNDP, 2004 |  |  |
| **Related UNDP Projects Documents** |  |  |
| Business Forum Uzbekistan Prodoc |  |  |
| Academy of Public Administration Prodoc | 2016 |  |
| E-government Prodoc |  |  |
|  |  |  |
| **Related UNDP Evaluation Reports (published on ERC https://erc.undp.org/)** |  |  |
| UNDP, UNPF and UNODC Annual Report on Evaluation 2016 | June 2017 |  |
| Final Evaluation of UNDP Budget System Reform in Uzbekistan, 2010-2015 | December 2015 | Downloaded July 2017 |
|  |  |  |
|  |  |  |
| **Baseline Study** |  |  |
| Assessment of Intergovernmental Relations And Local Governance In The Republic Of Uzbekistan, USAID, 2004 |  |  |

# Annex 6 - LGSP-2 Evaluation Country Visit Schedule

**AGENDA**

**of mission Olga Moreva, of international consultant for the evaluation of the joint project of the Cabinet of Ministers and UNDP**

**"Local Governance Support Programme / Phase-2" (LGSP-2)**

|  |  |
| --- | --- |
| **5th of June 2017, Monday** | |
| To be specified | Arrival, accommodation at the hotel |
| **6th of June 2017, Tuesday** | |
| 10:00 - 11:00 | Meeting with the Cluster on Good Governance, Policy and Communication UNDP CO |
| 11:30 - 13:00 | Meeting with the LGSP project team at the UNDP CO |
| 13:00 - 14:00 | Lunch break |
| 14:00 - 16:00 | Meeting with the Chairman of the Senate Commission of the Oliy Majlis of the Republic of Uzbekistan on promotion of enhancement of representative bodies in the field |
| 16:00 - 18:00 | Meeting in the Cabinet of Ministers with the National Project Coordinator |
| **7th of June 2017, Wednesday** | |
| 08:00 - 11:00 | Departure to Djizak |
| 11:00 - 12:00 | Meeting in the Khokimiyat of the Djizak region |
| 12:00 - 13:00 | Acquaintance in the Khokimiyat of the Djizak region with the results of the UNDP project (Information Service, E-Hujjat, web sites [www.jizzax.uz](http://www.jizzax.uz), [www.kengash.jizzax.uz](http://www.kengash.jizzax.uz), [www.data.jizzax.uz](http://www.data.jizzax.uz), brief presentation of the computer monitoring program of KPM).  Meeting with participants of study tours to the Czech Republic and Poland. |
| 13:00 - 14:00 | Lunch break |
| 14:00 - 16:00 | Acquaintance with the activities of the Information Service of the Khokimiyat of Djizak city, as well as the OSS (One-Stop-Shop) |
| 16:00 - 18:00 | Departure to Zaamin district, familiarization with the activities of the Information Service of the Khokimiyat and the One-Stop-Shop Center |
| **8th of June 2017, Thursday** | |
| 09:00 - 11:00 | Meeting in the Khokimiyat of the city of Djizak with representatives of the city's activists, NGOs, private business and the media |
| 11:00 - 12:00 | Departure to Zafarabad district |
| 12:00 - 13:00 | Meeting in Khokimiyat of Zafarabad district |
| 13:00 - 14:00 | Lunch break |
| 14:00 - 19:00 | Departure to Namangan |
| **9th of June 2017, Friday** | |
| 09:00 - 11:00 | Meeting in the Khokimiyat of Namangan region |
| 11:00 - 13:00 | Familiarization in the Khokimiyat of the Namangan region with the results of the UNDP project (Information Service, E-Hujjat, web sites [www.namangan.uz](http://www.namangan.uz), [www.kengash.namangan.uz](http://www.kengash.namangan.uz), [www.data.namangan.uz](http://www.data.namangan.uz)).  Meeting with participants of study tours to the Czech Republic and Poland. |
| 13:00 - 14:00 | Lunch break |
| 14:00 - 16:00 | Meeting in finance department of Namangan region (discussion of work on transition to mid-term budgeting of the city of Namangan) |
| 16:00 - 17:00 | Departure to Mingbulak District |
| 17:00 - 18:00 | Acquaintance with the results of work in the One-Stop-Shop (OSS) of the Mingbulak District |
| **10th of June 2017, Saturday** | |
| 09:00 - 11:00 | Meeting at the Khokimiyat of the city of Namangan |
| 11:00 - 12:00 | Acquaintance with the results of the Information Center activity at the Khokimiyat of the city of Namangan and the One-Stop-Shop Center of Namangan city |
| 12:00 - 13:00 | Meeting in the Khokimiyat of Namangan with representatives of the city's activists, NGOs, private business and the media |
| 13:00 - 14:00 | Lunch break |
| 14:00 - 18:00 | Departure to Tashkent |
| **11th of June 2017, Sunday** | |
|  | ***Day off*** |
| **12th of June 2017, Monday** | |
| 09:00 - 11:00 | Meeting at the Banking and Finance Academy |
| 11:00 - 13:00 | Meeting in the Ministry of Labor |
| 13:00 - 14:00 | Lunch break |
| 14:00 - 15:00 | Departure to the regional center of Toy-Tepa |
| 15:00 - 11:00 | Meeting in the khokimiyat of the Tashkent region, the regional council of people's deputies |
| **13th of June 2017, Tuesday** | |
| 09:00 - 11:00 | Meeting at the Electronic Government Development Center, as well as with the UNDP project "e-Government promotion to improve the quality of public services" |
| 11:00 - 13:00 | Meeting in the Ministry of Justice |
| 13:00 - 14:00 | Lunch break |
| 14:00 - 16:00 | Meeting at the Ministry of Finance |
| 16:00 - 18:00 | Meeting at the Ministry of Economy |
| **14th of June 2017, Wednesday** | |
| 09:00 - 13:00 | Participation in the work of the international conference at the Academy of Public Administration under the President of the Republic of Uzbekistan |
| 13:00 - 14:00 | Lunch break |
| 14:00 - 18:00 | Participation in the work of the international conference at the Academy of Public Administration under the President of the Republic of Uzbekistan |
| **15th of June 2017, Thursday** | |
| 09:00 - 11:00 | Meeting at the British Embassy |
| 11:00 - 13:00 | Meeting at the GIZ office |
| 13:00 - 14:00 | Lunch break |
| 14:00 - 16:00 | Meeting at the office of European Union Delegation |
| 16:00 - 18:00 | Meeting at the CCI, as well as with the UNDP project "Business Forum of Uzbekistan-Phase 3" |
| **16th of June 2017, Friday** | |
| 09:00 - 11:00 | Work with the project team in the office of the project LGSP-2 |
| 11:00 - 13:00 | Preparation of documents |
| 13:00 - 14:00 | Lunch break |
| 14:00 - 16:00 | Presentation of preliminary findings with the participation of national partners |
| 16:00 - 18:00 | Final meeting at UNDP CO |
| **17th of June 2017, Friday** | |
| 09:00 - 11:00 | Work with the project team in the office of the project LGSP-2 |
| 13:00 - 14:00 | Lunch break |
| 14:00 - 18:00 | Preparation and drafting of the report |
| **18th of June 2017, Saturday** | |
| 02.45 | Departure from Tashkent |

1. CIA World Factbook 2017 [↑](#footnote-ref-2)
2. UNDP HDR 2016. Briefing Notes Uzbekistan [↑](#footnote-ref-3)
3. Based on ADB, World Bank and Uzbek Government statistical data [↑](#footnote-ref-4)
4. http://data.worldbank.org/about/country-and-lending-groups#Lower\_middle\_income [↑](#footnote-ref-5)
5. www.doingbusiness.org [↑](#footnote-ref-6)
6. Based on Russia Migration Services annual statistical data, UNDP (2015), World Bank (2014) and other donor reports. In 2016, 45% of all work permits in Russia were issued to the Uzbek citizens. [↑](#footnote-ref-7)
7. <http://info.worldbank.org/governance/wgi/#home>; data through 2016 will be available on 22.09.17 [↑](#footnote-ref-8)
8. http://data.trendeconomy.ru/dataviewer/wb/wbd/wdi?ref\_area=UZB&series=IQ\_CPA\_PADM\_XQ [↑](#footnote-ref-9)
9. https://www.transparency.org/news/feature/corruption\_perceptions\_index\_2016 [↑](#footnote-ref-10)
10. IMF Country Report No. 08/35, 2008 [↑](#footnote-ref-11)
11. LGSP-1 Prodoc 2010; and LGSP-2 Prodoc 2014 [↑](#footnote-ref-12)
12. http://uza.uz/ru/documents/o-pervoocherednykh-merakh-po-obespecheniyu-uskorennogo-sotsi-09-08-2017 [↑](#footnote-ref-13)
13. <http://www.uz.undp.org/content/uzbekistan/en/home/presscenter/articles/2016/08/11/uzbekistan-advanced-20-positions-in-un-e-government-ranking.html> [↑](#footnote-ref-14)
14. [www.lgsp.uz](http://www.lgsp.uz); <http://www.uz.undp.org/content/uzbekistan/en/home/operations/projects/democratic_governance/local-governance-support-programme-phase-II.html>  as well as in social media: <https://www.facebook.com/lgspuzbekistan> [↑](#footnote-ref-15)
15. https://www.gazeta.uz/ru/2017/08/15/hokims/ [↑](#footnote-ref-16)
16. http://uzbekistan.nsk.ru/index.php?option=com\_content&view=article&id=6318:2017-03-10-11-24-41&catid=1:2010-03-12-13-22-28&Itemid=113 [↑](#footnote-ref-17)
17. https://anhor.uz/columnists/ravni-li-zhenshini-i-muzhchini-v-uzbekistane [↑](#footnote-ref-18)
18. http://www.un.org/en/ga/deliveringasone [↑](#footnote-ref-19)
19. http://www.un.org/millenniumgoals/ [↑](#footnote-ref-20)
20. http://www.uz.undp.org/content/uzbekistan/en/home/library/mdg/millennium-development-goals-report--uzbekistan-2015.html [↑](#footnote-ref-21)
21. Independent CPAP Evaluation 2013 [↑](#footnote-ref-22)
22. LGSP-2 Prodoc 2014 [↑](#footnote-ref-23)
23. ibid [↑](#footnote-ref-24)
24. UNDP Guide to Measuring Local Governance, https://localdemocracy.net/2013/12/18/undp-measuring-local-governance/ [↑](#footnote-ref-25)
25. Decentralized Governance for Development – A Combined Practice Note on Decentralization, Local Governance and Urban/Rural Development”, UNDP, 2004 [↑](#footnote-ref-26)
26. https://sustainabledevelopment.un.org/post2015/transformingourworld/publication [↑](#footnote-ref-27)
27. http://www.undp.org/content/undp/en/home/librarypage/democratic-governance/local\_governance/integrated-framework-to-support-local-governance-and-local-devel/ [↑](#footnote-ref-28)
28. Based on World Bank data <http://data.worldbank.org/indicator> and MDG Report Uzbekistan 2015 [↑](#footnote-ref-29)
29. http://www.uz.undp.org/content/uzbekistan/en/home/countryinfo.html [↑](#footnote-ref-30)
30. https://unstats.un.org/sdgs/indicators/indicators-list/ [↑](#footnote-ref-31)
31. 2005 National Trade Estimate Report on Foreign Trade Barriers, the Office of the US Trade Representative [↑](#footnote-ref-32)
32. http://president.uz/uz/lists/view/808 [↑](#footnote-ref-33)
33. <http://kengash.namangan.uz/ru/>; <http://kengash.jizzax.uz/ru/> ; <http://kengash.tashkent.uz/ru> [↑](#footnote-ref-34)
34. http://uzbekistan.nsk.ru/index.php?option=com\_content&view=article&id=6318:2017-03-10-11-24-41&catid=1:2010-03-12-13-22-28&Itemid=113 [↑](#footnote-ref-35)
35. https://anhor.uz/columnists/ravni-li-zhenshini-i-muzhchini-v-uzbekistane [↑](#footnote-ref-36)