



United Nations Trust Fund  
for Human Security



## UN Joint Programme

***“Building the resilience of communities affected by the Aral Sea disaster through a Multi-Partner Human Security Trust Fund for the Aral Sea Region”***

*(UDP-EE-15-006)*



## Mid-Term Evaluation FINAL Report

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## List of Abbreviations and Acronyms

AGPF	Aral Gene Pool Protection Fund
ASBP	Aral Sea Basin Programme
AWP	Annual Work Plan
CO	Country Office
CPD	Country Programme Document
HS	Human Security
HSU	Human Security Unit
IAWG	Inter-Agency Working Group
IFAS	International Fund for Saving the Aral Sea
JICA	Japan International Cooperation Agency
MASHAV	Agency for International Development Cooperation (Israel)
M&E	Monitoring and Evaluation
MOE	Ministry of Economy
MOH	Ministry of Health
MTE	Mid-Term Evaluation
MPHSTF	Multi-Partner Human Security Trust Fund
MPTF	Multi-Partner Trust Fund
NGO	Non-Governmental Organization
NWP	New World Programme
OECD	Organization for Economic Co-operation and Development
PB	Project Board
RC	Resident Coordinator
SDC	Swiss Development and Cooperation Agency
SMART	Specific, Measurable, Attainable, Relevant and Time-bound
TIKA	Turkish Cooperation and Coordination Agency
TORs	Terms of Reference
UN	United Nations
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
UNTFHS	United Nations Trust Fund for Human Security
UNV	United Nations Volunteers Program
USD	United States Dollar

## Acknowledgements

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## DISCLAIMER

*This report is the work of an Independent Evaluation Team and does not necessarily represent the views, or policies, or intentions of the United Nations Development Programme (UNDP) and/or of the Government of Uzbekistan.*

# 1. Main Conclusions and Recommendations<sup>1</sup>

## 1.1. Background - Introduction

This report presents the findings of the Mid-Term Evaluation (MTE) of the UN Joint Programme UN Joint Programme “*Building the resilience of communities affected by the Aral Sea disaster through a Multi-Partner Human Security Trust Fund for the Aral Sea Region*”. This MTE was performed by an Independent Evaluation Team composed of Mr. Jean-Joseph Bellamy and Ms. Saida Yusupova on behalf of UNDP.

Uzbekistan is located in the heart of Central Asia. It borders Kazakhstan to the north, Afghanistan to the south, Turkmenistan to the west, and Tajikistan and Kyrgyzstan to the east, and is one of the only two double-landlocked countries in the world. Its population of above 30 million is the largest in Central Asia, and youth makes up almost 60% of the population.

The Aral Sea region remains the most vulnerable and deprived region of Uzbekistan. The disappearing Aral Sea has caused a complex range of human, environmental, socio-economic and demographic problems in the adjacent areas, with the Republic of Karakalpakstan at the epicenter of this man-made crisis. The drying-up of the Aral Sea, largely as a consequence of highly inefficient agricultural and irrigation practices initiated during the Soviet times, has had a devastating effect on the human security of Karakalpakstan residents and has affected almost every walk of life.

Karakalpakstan, located in the northwestern part of the country, occupies 37% of the total territory of Uzbekistan but only 5.5% of the country's total population. It has a status of a sovereign republic and is governed by its own Legislature. The Republic is divided into 14 districts each of which with its own local governing entity. The population, as of January 2013 was 1,711,800 (50% are women and 50% are men) consisting of a majority ethnic Karakalpak, with a significant number of Uzbeks living in the southern districts.

The residents of Karakalpakstan face multiple economic insecurities that resulted from the Aral Sea disaster. Local livelihoods have become increasingly threatened and multiple interconnected human security challenges have emerged. In addition to economic insecurity, the drying of the Aral Sea has led to environmental insecurities for the local population. Polluted dust blowing from the dry sea bed has led to the deterioration of the quality of land and water, decreasing the productivity of local agriculture, which negatively affects livelihoods. It also gives rise to a host of related food and health insecurities. Shortage of drinking water has become a serious problem. Low incomes, malnutrition, exposure to dust storms, shortages and deteriorating quality of drinking water have negatively impacted health security of local populations. In summary, this man-made environmental disaster resulted in multiple interconnected environmental, economic, food, health, community human insecurities that threaten the livelihoods, survival and dignity of the affected individuals.

The Aral Sea region has received substantial donor attention and financial support since the mid-1990. A study conducted in 2013 found that for the period 2006-2011, donor aid to the Aral Sea region amounted to USD 125 million with 43 projects (25 projects by the UN) implemented by 19 bilateral and multilateral donor agencies. A first UN joint programme conducted during this period demonstrated the value of coordination, integrated planning, but also consolidating delivery at the field level with one coordinating entity. It found that local and regional governments were more effective in planning and delivering interventions at the local level, including a stronger collaboration with civil society and communities.

Since independence, in collaboration with the international donor community, the government has been searching for solutions to improve the development of this region. In August 2015, it endorsed a *Comprehensive State Programme* which included more than 500 projects with a total budget of USD 4 billion. On-going discussions with UN agencies in Uzbekistan led to the concept of a second programme to be funded by UNTFHS. This programme would be innovative and apply the principle of integrated planning. It would assess the chain of causes and effects of insecurities of the targeted communities and design interventions that

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<sup>1</sup> Conclusions and Recommendations are in Chapter 1 with a brief background section. It is structured as an Executive Summary but also a stand-alone section presenting the highlights of this final evaluation.

would address these cause-effect mechanisms in a comprehensive way by expanding livelihoods opportunities, improving health facilities and agriculture opportunities and making governance systems better responsive to individuals and communities.

This second UN joint programme was formulated in 2014-15. The goal is *"to mitigate inter-connected risks to Human Security and building the resilience of communities affected by the Aral Sea Disaster through an integrated and multi-level approach and ensuring sustainable support through the establishment of a Multi-Partner Human Security Fund for the Aral Sea"*. It will be achieved through the delivery of two objectives:

1. To address the human security needs of populations affected by the Aral Sea disaster at the local and national levels;
2. To establish a well-coordinated financial mechanism for implementing and sustainable financing of human security initiatives as a way to promote and mainstream the human security approach in the region

**Table 1: Project Information Table**

Table 1. Project Information Table			
Project Title:	Building the resilience of communities affected by the Aral Sea disaster through a Multi-Partner Human Security Trust Fund for the Aral Sea Region		
Project ID (PIMS #):	UDP-EE-15-006	Proposal Submission:	October 21, 2015
Country:	Uzbekistan	Programme Approval Date:	August 25, 2016 (UNTFHS) August 25, 2016 (government)
Region:	CIS	Programme Operational Start Date:	September 1, 2016
Trust Fund:	UNTFHS	Programme Official Launch:	February 10, 2017
Inception Workshop:	February 13, 2017	Programme Closing Date:	May 15, 2019
Midterm Review date:	June-August 2018		
Lead UN Agency:	UNDP		
Other Implementing UN Agencies:	UNESCO, UNFPA, UNV		
Non-UN Implementing & Collaborating Partners:	Ministry of Economy Ministry of Health Ministry of Finance Council of Ministers of Karakalpakstan Charity Fund for Aral Gene Pool Protection (AGPF) International Fund for Saving the Aral Sea (IFAS)		
Project Financing		at Entry (USD)	at Mid-Term Evaluation (USD)
(1) UNTFHS:		2,000,000	2,000,000
(2) UNDP:		647,000	647,000
(3) UNFPA:		100,000	100,000
(4) UNESCO:		81,000	81,000
(5) UNV:		72,000	72,000
(6) Swiss Development Agency:		-	120,000
(7) NWP (Coca Cola Foundation):		-	100,000
(8) AGPF		-	500,000
(9) UNDP (Global Funding Window)		-	300,000
(10) Adaptation Fund (parallel funding):		1,254,000	1,254,000
Project Total Cost:		4,154,000	5,174,000

This mid-term evaluation report documents the achievements of the project and includes five chapters. Chapter 1 presents the main conclusions and recommendations; Chapter 2 presents an overview of the project; Chapter 3 briefly describes the objective, scope, methodology, evaluation users and limitations of the evaluation; Chapter 4 presents the findings of the evaluation, Chapter 5 presents the lessons learned and relevant annexes are found at the back end of the report.

## 1.2. Conclusions

### *Conceptual Design and Relevance*

#### **a) The programme is relevant to national and regional priorities.**

The development of the Aral Sea region is a strong priority for the government of Uzbekistan. It adopted the *State Programme for the Development of the Aral Sea Region 2017-2021*, which focuses on measures to improve the socio-economic condition and quality of life of people living in Karakalpakstan. To ensure a reliable and stable financing of the implementation of these measures, this programme plans the establishment of a fund for the development of the Aral Sea basin. Uzbekistan is also part of the International Fund for Saving the Aral Sea (IFAS), which was established in 1992 with the purpose of improving the social, economic, and ecological situation in the basin of the Aral Sea. The UN joint programme is much aligned with government strategies and priorities for the development of the Aral Sea region. It was developed in close collaboration with government partners and it is a direct response to national priorities and the government is strongly committed to the programme. According to the UN Resident Coordinator, the government recently committed to finance the Multi-Partner Human Security Trust Fund (MPHSTF) for the Aral Sea region for about USD 5 to 10M per year.

#### **b) The approach ensured that the programme address the needs of targeted beneficiaries**

Beneficiaries were identified through a needs assessment and mapping exercise conducted at the outset of the programme. It included a social survey of 1,600 households in 8 selected districts of the region and 8 focus groups with local authorities and civil society representatives. The assessment covered the development of agriculture and its priority directions; social infrastructure; education system; healthcare system; ecologic situation; gender aspects of employment; and social risks and security. The assessment identified potential risks and threats to the life of the population of the Aral Sea region. The prevailing risks in all 8 districts were tension in the labor market and unemployment, unfavorable ecological situation, and provision of quality drinking water. Based on this assessment of needs and priorities, a roadmap for programmatic interventions in the Aral Sea region to address human insecurities in a holistic way was developed. It ensured that the programme address the needs of targeted beneficiaries, including women, men and vulnerable groups.

#### **c) The conceptual design of the programme is coherent and logical.**

The *Results Framework* formulated during the design phase presents a coherent and logical “*chain of results*”, which detailed a list of planned activities to reach a set of 12 expected outputs, which in turn will contribute to the achievement of the overall two objectives of the programme. The project document provides a useful “*blue print*” for the project team to guide the implementation of the programme. The overall strategy of this programme is twofold: (1) for the short and medium terms, start the programme with an identification of the targeted beneficiaries through a needs assessment, establish a roadmap for interventions to be supported by the programme, and pilot innovative projects to address human security needs in selected communities, including the sustainable management and conservation of natural resources and the enhancement of primary healthcare services; and (2) for the long term, develop, establish, develop capacities and institutionalize a well-coordinated sustainable Multi-Partner Human Security Trust Fund (MPHSTF) to finance the human security-based development in the Aral Sea region.

### *Effectiveness*

#### **d) The programme has been effective and should meet its targets.**

Overall, the programme has been successful and it is on its way to meet its targets set at the formulation stage in the planned timeframe. The achievements will certainly contribute towards achieving the programme objectives. A mix of training activities, investments in social infrastructure projects, support to private sector development, regional development planning, and strengthening government health services, are contributing to the first objective that is “*to address human security needs of the population affected by the Aral Sea disaster at the local and national levels.*” The formulation of a MPHSTF for the Aral Sea region with the related training of people and the promotion and communication on this financial mechanism has been successful so



far and will contribute “*to establish a well-coordinated financial mechanism for implementing and sustainable financing of human security initiatives as a way to promote and mainstream the human security approach in the region*”, which is the second objective of the project. This financial mechanism is expected to be established by the end of 2018. Four critical success factors explain this effectiveness: (1) the programme is flexible and was able to mobilize additional resources and expand its reach in the Aral Sea region; (2) based on an assessment conducted at the outset of the programme, it is a responsive programme to communities needs and priorities; (3) There is a effective collaboration between the government and UN agencies; and (4) the programme is implemented by a strong technical team mostly based in Nukus and mostly from the Aral Sea region.

**e) The programme has been successful in mobilizing communities and volunteers.**

The process of conducting a needs assessment followed by planning interventions to be supported by the programme that are responsive to needs and priorities of communities, contributed to a strong community mobilization around social infrastructure projects. Moreover, under output 1.5, the programme has been developing a successful volunteerism model in healthcare targeting 2,000 community health volunteers from various parts of the Aral Sea region. This approach has already expanded social impacts of the programme throughout the region and more is expected before the end of the programme. A policy brief have been prepared in collaboration with the Ministry of Health to promote the benefits of this volunteer model and secure the institutionalization of volunteering in healthcare. Mobilizing communities and volunteerism are emerging models on this programme, which needs to be communicated and promoted in other parts in the region and throughout Uzbekistan.

**f) An innovative financing solution for socio-economic development is emerging.**

The programme has been testing an innovative approach for private sector development. Instead of providing grants, the programme in close collaboration with local authorities and partners (Ministries, Chamber of Commerce and Industry, NGOs), lend equipment to small businesses with further transfer of equipment providing they meet their targets specified in MOUs signed between the beneficiaries and UNDP. The programme also provides training to develop business capacities and access to microfinance institutions via the Business Women Association, commercial banks and local government authorities. The aim is to establish small businesses and scale-up their operations, while being used as demonstrations for upscaling and replication. So far, 9 small business projects got the support from the programme, which has resulted in the creation of about 30 jobs. It is a successful initiative, which is also well aligned with the current government priority – 2018 is the year of innovative and technological entrepreneurship.

**Efficiency**

**g) The management arrangements are fully adequate for implementing the programme**

The programme is managed by a simple management structure and it is implemented by a good team of specialists. All with clear roles and responsibilities. The Programme Board (PB) provides a good oversight on the implementation of the programme, including fulfilling a linkage role between the programme and related government ministries and agencies. The Programme Manager reports to the PB. The UN agencies and the government have been discussing the most effective way to respond to the development challenges of this region; the option of setting up a MPHSTF was chosen and it remains the best option to scale-up development efforts in the region. The quality of programme deliverables is good.

**h) The disbursement of the contributions to the programme is behind the implementation timeline and may not be fully expended by the end of the programme in May 2019.**

Programme expenditures are prudently and efficiently engaged. Despite that no baseline exists to compare the cost of the programme with, when analyzing the list of results achieved with what the programme has spent so far, it is a cost-effective programme. The programme was able to mobilize additional sources of funding representing an extra 35% of the original budget of USD 2.9M. These additional sources of funding have provided valuable resources to implement more social infrastructure projects for communities facing the most significant human security challenges in the Aral Sea region; increasing the positive social impacts of the

programme. In line with guidelines from each donor, financial reports are prepared annually and are provided to the respective donors. Regarding the main donor (UNTFHS), certified financial statements from each UN agency are provided annually as part of the annual progress reports. In the meantime, only 39% of the total budget has been spent as of May 31, 2018 versus an elapsed time of 67%. It is unlikely that the entire budget to finance the programme be expended by the end of May 2019.

**i) The M&E system has too many indicators and targets to monitor and report on, rendering the M&E function time consuming and of limited added value**

The extensive M&E system in place has been producing good progress reports. However, with a total of 69 indicators and 48 targets to monitor, too much information is collected with some redundancies. These indicators to measure the progress made by the programme are mostly SMART. There are generally Specific and easily Measurable and are also Achievable, Relevant and Time-bound. However, there are too many indicators and targets, which renders the monitoring function of the programme complicated and time consuming for limited added value. For instance, instead of 4 indicators to measure the progress made in completing the baseline survey (output 1.1), one indicator should be enough. The same can be said for measuring output 2.2, which is done currently with five indicators and where one indicator should be enough. In some cases, their relevance is limited. Measuring a number of consultations or a number of missions and study tours are poor indicators to measure how well a programme has been achieving its objectives. In the meantime, no indicators were identified to monitor/measure the progress made at the objective level.

**j) The programme has been effective in communicating and promoting the human security concept with the development of good communication materials and the organization of multiple events.**

The programme has run an effective communication campaign in promoting the concept of human security. The programme certainly complies with the requirement to communicate and share knowledge on the human security approach required by UNTFHS. A full list of communication/promotional materials have been produced and related activities conducted. One result of this good communication/promotion is the fact that the programme had been able to mobilize additional sources of funding.

**k) The programme enjoys good partnerships with national, regional and local governments as well as with community leaders.**

There is a clear strategy in place to build/develop partnerships and the programme implementation team has been focusing on this since day one of the programme. It has already resulted in additional sources of funding for the current programme to finance extra social infrastructure initiatives and in a good collaboration with government ministries and agencies at national, regional and local levels, particularly to move the establishment of the MPHSTF forward. Key steps have already taken place such as the establishment by the government of an Inter-Agency Working Group with its action plan, the development and approval of a roadmap to establish the MPHSTF and, according to the UN Resident Coordinator, the recent decision of the Cabinet of Ministers of the Republic of Uzbekistan to fund this trust fund at a USD 5 to 10M level per year. The next critical step should be the official launch of the MPHSTF that is being prepared to be done at a high-level event on the sidelines of the UN General Assembly on the 1st of November 2018 in New York.

### ***Sustainability***

**l) Key programme achievements should be sustainable; mostly through institutionalization and /or ownership by communities.**

The prospects for the long-term sustainability of programme achievements are good. The programme has been a direct response to communities needs and priorities and is highly relevant in the context of the government *State Programme for the Development of the Aral Sea Region 2017-2021*, which focuses on measures to improve the socio-economic condition and quality of life of people living in Karakalpakstan.

Key achievements of the programme are being institutionalized along the implementation. The key steps to establish a MPHSTF such as developing a concept, TORs, roadmap and financing the trust fund have been done under the leadership of the government through an Inter-Agency Working Group set-up by the Cabinet

of Ministers. The process is “owned” by the government. It clearly shows the government commitment to the objectives of the programme and the establishment and functioning of the MPHSTF as a financial mechanism to invest in the development of the Aral Sea region.

At the community level, social infrastructure projects that are responded to needs are also “owned” by the respective communities. Providing drinking water to a community, which will replace collecting water from irrigation channels is more than welcome by the community and they should mobilize themselves to maintain these infrastructures after the completion of the programme. The same can be said for the new school built to replace an old dilapidated school in the community of Adai in the district of Muynak, or the provision of a power supply system to electrify a community in the district of Takhtakupir.

Finally, the training in business development resulted in the launch of few business initiatives (bakery, beauty salon, processing and packaging agricultural products, clothing manufacture, printing, honey production, etc.) with some financial support from local authorities – but no financial support from this programme. Most of them should become sustainable businesses, including the creation of local jobs already estimated at about 30. These young entrepreneurs are keen to develop their businesses in their local communities and proud of creating local jobs.

#### **m) A model for regional development is emerging; it should be replicable.**

Replicating and scaling-up programme achievements was a key criteria to justify the rationale of this programme. It was designed as an innovative programme seeking to apply integrated principle to interventions planning. By assessing the chain of causes and effects of insecurities of targeted communities and designing interventions that would address these cause-effect mechanisms, it was expected that it would expand livelihoods opportunities, improve health facilities and agriculture opportunities and make governance systems better responsive to individuals and communities. Establishing a MPHSTF is key for replicating the achievements of the programme. Assuming that this trust fund will officially launched as planned in September 2018, this financial instrument should be operational to finance development in the Aral Sea region as of 2019. It is expected that financing development activities for the entire region would build on lessons learned and experiences from initiatives funded by the UN joint programme such as social infrastructure projects and business development.

### **1.3. Recommendations**

Based on the findings of this mid-term review, the following recommendations are suggested. There are in no particular order.

#### **Recommendation 1: It is recommended to expand the awareness and promotion of the human security approach and the establishment of the MPHSTF in Karakalpakstan.**

##### ***Issue to Address***

The programme has already conducted numerous activities to raise awareness and knowledge and train local community leaders and local authorities in Karakalpakstan on the human security approach. In addition, the programme has also supported activities to demonstrate this approach through the implementation of the social-infrastructure projects in some communities. As we are approaching the launch of the MPHSTF as the main financial instrument to finance and invest in the development of the region, it is recommended to expand the promotion of this approach throughout the republic of Karakalpakstan using concrete examples from social infrastructure projects supported by the programme. The focus should be on what is a MPHSTF, what it will do and how it will work. The more aware all Karakalpak communities will be about this approach, the better chance this financial mechanism will work.

#### **Recommendation 2: It is recommended to increase the promotion of the MPHSTF to the international donor community.**

##### ***Issue to Address***

As the programme is expected to be established by the end of 2018, it is recommended to increase the promotion with the international donor community. The programme has already done a lot, has a lot of materials, and has a good network in place to reach out this community. Reinforcing the communications to this network of donors is recommended in order to maximize the chance of potential donors pledging their support to this initiative as early as possible.

**Recommendation 3: It is recommended to add to the risk log the risk “lack of interest from international donors in participating and financing the MPHSTF”.**

***Issue to Address***

The review conducted for this evaluation reveals that one missing risk is the potential for a lack of interest from the international donor community to participate and finance the MPHSTF. To fully succeed in sustaining its achievements over the medium and long term, particularly the sustainability of the MPHSTF, the programme needs the involvement of other donors. The current plan is to officially establish the trust fund by the end of 2018. The partners of the programme, including the government, need pledges from other donors to support the overall strategy for an integrated development strategy of the Aral Sea region financed by a MPHSTF. It is important to monitor this risk as part of risk management of the programme.

**Recommendation 4: It is recommended to conduct a study of existing policy and legislative frameworks to identify gaps and barriers, which could hamper the implementation of a human security approach.**

***Issue to Address***

The government is fully committed to the establishment of the MPHSTF, which will apply the principles of human security. The programme has been demonstrating the benefits of such an approach through social infrastructure projects responding to local communities needs and priorities. A model is emerging for the development of Karakalpakstan. However, to replicate this approach in other parts of the country, there is the need to know how compatible this approach is vis-à-vis the policy and the legislative frameworks in place in Uzbekistan. It is recommended that this programme conduct a study of these frameworks, assess their compatibility with the implementation of the concept of human security and identify any gaps and barriers, which would hamper the scaling-up of such an approach.

**Recommendation 5: It is recommended to expand the piloting of private sector development.**

***Issue to Address***

The programme initiated a small private sector development, testing an innovative approach. Instead of providing cash grants, the programme in close collaboration with local authorities provide equipment to small businesses to scale-up their operations and provide access to microfinance institutions via the Business Women Association. For each initiative, an MOU is signed between the UN Joint Programme and the beneficiary, which include a business plan to describe the business venture, the equipment that is provided, and business indicators to measure the performance of the business. Once, the beneficiary complies/meets the target indicators, the UN joint programme officially transfers the equipment/machinery ownership to the beneficiary and notifies the local government office (Khakimyat). So far, 9 small business projects got the support from the programme, which has resulted in the creation of about 30 jobs. It is recommended that the programme expand this pilot, including the promotion of technological and innovative entrepreneurship, which is also a priority of the Government (2018 is the year of innovative and technological entrepreneurship). Then, lessons learned and best practices should be identified for replicating the model once the MPHSTF will be established.

**Recommendation 6: If there is a remaining budget as of May 2019, it is recommended that the timeline of the programme be extended.**

***Issue to Address***

The total level of disbursement is behind when compared with the overall implementation timeline (39% vs. 67%). From an objective point of view, 37% of the budget for objective 1 has been spent so far but only 18% for objective 2, including a budget of over USD 300,000 left for supporting the establishment of the MPHSTF (objective 2). If there is a remaining budget as of May 2019, it is recommended that the timeline of the

programme be extended, using this time to consolidate achievements of the programme; particularly the start-up phase of establishing the MPHSTF.

**Recommendation 7: It is recommended to review the M&E system in place and reduce the number of indicators and targets to simplify the monitoring and reporting functions.**

***Issue to Address***

The extensive M&E system in place has been producing good progress reports. However, too much information is collected with some redundancies. The entire reporting mechanism produces good but extensive progress reports. It is recommended that the M&E function be streamlined and focus mostly on collecting information that is used to draft the annual progress reports. In particular, it is recommended to reduce the number of indicators and targets to simplify the monitoring and reporting function without changing the current quality of reporting progress.

**Recommendation 8: It is recommended to expand the financial section in progress reports to include the full financial status of the programme.**

***Issue to Address***

Financial information is mostly provided by donor. There is no consolidated financial summary presenting the total financing of the programme in one place. It is recommended to expand the section on “financial status” in the annual progress reports to report this consolidated financial information presenting actual disbursements against the overall budget. All this information exists internally, it is a matter of reporting it to all through progress reports and show how cost-effective is this programme.

## 1.4. MTE Ratings

Below is the rating table as requested in the TORs. It includes the required performance criteria rated as per the rating scales presented in Annex 9 of this report. Supportive information is also provided throughout this report in the respective sections.

**Table 2: MTE Ratings**

<b>1 Assessment of Intervention</b>	<b>rating</b>	<b>2 Sustainability</b>	<b>rating</b>
Relevance	R	Capacity development of Stakeholders	S
Effectiveness	HS	Financial resources	HS
Efficiency	S	Policy and regulatory frameworks	MS
Overall Programme Outcome	HS	Overall likelihood of sustainability	L
<b>3 Monitoring and Evaluation</b>	<b>rating</b>	<b>4 Gender mainstreaming</b>	<b>rating</b>
M&E design at entry	MS	GM strategy at entry	MS
M&E plan implementation	S	GM at implementation	HS
Overall quality of M&E	S	Overall quality of GM	S

## 2. CONTEXT AND OVERVIEW OF THE PROJECT<sup>2</sup>

1. Uzbekistan is located in the heart of Central Asia, at the crossroads of the ancient Silk Road that ran from China to Europe. It borders Kazakhstan to the north, Afghanistan to the south, Turkmenistan to the west, and Tajikistan and Kyrgyzstan to the east, and is one of the only two double-landlocked countries in the world. Its population of above 30 million is the largest in Central Asia, and the 3rd largest among CIS countries. Youth makes up almost 60% of the population.

2. The Aral Sea region remains the most vulnerable and deprived region of Uzbekistan. The disappearing Aral Sea has caused a complex range of human, environmental, socio-economic and demographic problems in the adjacent areas, with the Republic of Karakalpakstan at the epicenter of this man-made crisis. The drying-up of the Aral Sea, largely as a consequence of highly inefficient agricultural and irrigation practices initiated during the Soviet times, has had a devastating effect on the human security of Karakalpakstan residents and has affected almost every walk of life.

3. Karakalpakstan, located in the northwestern part of the country, occupies 37% of the total territory of Uzbekistan but only 5.5% of the country's total population. It borders Turkmenistan to the west and south and Kazakhstan to the north. It has a status of a sovereign republic and is governed by its own Legislature - Joqarg'i Ken'es - and Executive Council of Ministers. The Republic is divided into 14 districts (rayons) each of which with its own local governing entity. The population, as of April 2018 is 1,847,6003 (50% are women and 50% are men) consisting of a majority ethnic Karakalpak, with a significant number of Uzbeks living in the southern districts.

4. The residents of Karakalpakstan face multiple economic insecurities that resulted from the Aral Sea disaster. With the land in Karakalpakstan naturally arid, the population has long depended on the water from the Amu Darya delta for irrigating its agricultural, and - in the past - on the Aral Sea for fishing activities. Following the drying up of the Aral Sea and the reduced flow of water in the lower reaches of the river, local livelihoods have become increasingly threatened and multiple interconnected human security challenges emerged.

5. In addition to economic insecurity, the drying of the Aral Sea has led to environmental insecurities for the local population in terms of land degradation and desertification. Polluted dust blowing from the dry sea bed has led to the deterioration of the quality of land and water. 77% of the irrigated land is considered of poor quality with high level of salinity. The environmental damage negatively affects livelihoods by decreasing the productivity of local agriculture. It also gives rise to a host of related food and health insecurities. Increased water salinity and pollutants have killed all of the Aral Sea fish. Shortage of drinking water has become a serious problem with high levels of salts affecting the water meant for human consumption. Low incomes, malnutrition, exposure to dust storms, shortages and deteriorating quality of drinking water due to mineralization and limited access to centralized piped water have negatively impacted health security of local populations.

6. Multiple human security challenges faced by communities affected by the Aral Sea disaster has undermined the resilience of these communities and limited their opportunities to become actively engaged into dialogue with decision makers to find locally appropriate solutions to rebuild their lives. Lack of empowerment opportunities has added to community insecurity. In summary, this man-made environmental disaster resulted in multiple interconnected environmental, economic, food, health, community human insecurities that threaten the livelihoods, survival and dignity of the affected individuals.

7. The Aral Sea region has received substantial donor attention and financial support since the mid-1990. According to the assessment of donor activities conducted in 2013 within the framework of the first UNTFHS funded project for the period 2006-2011, donor aid to the Aral Sea region amounted to USD 125 million with 43 projects (25 projects by the UN) implemented by 19 donors including donor countries, bilateral and multilateral agencies. These projects focused on many areas such as agriculture, education, healthcare,

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2 Information in this section has been mostly summarized from the project document.

3 Source: official website of the Council of Ministers of the Republic of Karakalpakstan: <https://sovminrk.gov.uz/uz/pages/show/7023>

infrastructure, water supply, social sector, natural resource management, rehabilitation of environment, income generation, poverty reduction, governance, and area-based development.

8. Among these projects, the experience of the "*Sustaining livelihoods affected by the Aral Sea disaster*" programme implemented with UNTFHS funds is quite notable. As the first UN Joint Programme in Uzbekistan, it brought together five UN agencies working under one umbrella and demonstrated the benefits of an integrated response to a multi-faceted problem instead of the traditional stand-alone interventions. The project demonstrated the value of coordination, integrated planning, but also consolidating delivery at the field level with one coordinating entity. It became apparent that local and regional governments were more effective in planning and delivering interventions at the local level, including a stronger collaboration with civil society and communities.

9. The Uzbek Government support the development of the Aral Sea region through two organizations: the International Fund for Saving the Aral Sea (IFAS) and the Aral Gene Pool Protection Fund (AGPF). IFAS has been overseeing the implementation of the Aral Sea Basin Programme for the period of 2011-2015 (ASBP-3) with a total budget of USD 9.5 billion proposing 352 projects for joint implementation, targeting integrated water resources management, environmental protection, socio-economic development and improvement of institutional and legal mechanisms. Additionally, the government of Uzbekistan developed a "*State Programme on the Development of the Aral Sea Region*" for the period of 2017-2021, which was approved on January 18, 2017 by the Resolution No. PP-2731 of the President of the Republic of Uzbekistan. Projects and activities implemented under this programme have been funded by the *Aral Sea Region Development Fund* established by the Ministry of Finance of Republic of Uzbekistan. It included activities aimed at improving communal services' utilities, improving settlements, access to clean drinking water, water resources management and other activities to improve the conditions and quality of life of the population of the Republic of Karakalpakstan and of the Khorezm region.

10. In October 2014, the government organized an international conference in Urgench where four priority areas were highlighted: i) preserving fragile eco-balance of the Aral Sea basin, combating desertification, improving water management; ii) restoring and conserving the gene pool of the population of the Aral Sea region through improved social infrastructure and wide network of medical and education facilities; iii) creating the necessary social and economic mechanisms to improve living standards and developing basic infrastructure and communication; and iv) restoring the biodiversity of flora and fauna, creation of local water reservoirs. As a follow up to this conference, the government issued a Resolution in December 2014 identifying measures/ actions to be implemented; 31 national and regional projects worth over USD 3 billion were proposed for joint financing with international donors. Additionally, a number of government agencies were tasked with the development of a Comprehensive Programme to mitigate the consequences of the Aral Sea catastrophe, and restore socioeconomic development of the Aral Sea region for the period 2015-18. This Comprehensive State Programme was endorsed by the government in August 2015; it includes more than 500 projects with a total budget of USD 4 billion.

11. This second proposed initiative builds on achievements of the first project funded by UNTFHS. It seeks to support a scale-up transformation of the concept behind planning for the Aral Sea region. Its aim is to demonstrate at the national level the long-term added-value of the human security approach which was proven beneficial at the local level: Interventions that base themselves on the needs and aspirations of affected populations, and that are designed, implemented and assessed in ways that can address these concerns in a holistic manner. This UN Joint Programme aims at mobilizing technical and financial assistance of donor institutions for the implementation of targeted project initiatives. At the same time, the created institutional platform will serve for the development of more detailed measures and project documents, reflecting the mandates and interests of the donor-partners involved.

12. One the most innovative features of the programme is that it will apply the principle of integrated planning: it will assess the chain of causes and effects of insecurities of the targeted communities and will design the interventions that will address these cause-effect mechanisms in a comprehensive way by expanding livelihoods opportunities, improving health facilities and agriculture opportunities and making governance systems better responsive to individuals and communities.

13. The goal of this UN Joint Programme is *"to mitigate inter-connected risks to Human Security and building the resilience of communities affected by the Aral Sea Disaster through an integrated and multi-level approach and ensuring sustainable support through the establishment of a Multi-Partner Human Security Fund for the Aral Sea"*. It will be achieved through the delivery of two objectives (*see more detailed about the project strategy in Annex 1*):

- To address the human security needs of populations affected by the Aral Sea disaster at the local and national levels;
- To establish a well-coordinated financial mechanism for implementing and sustainable financing of human security initiatives as a way to promote and mainstream the human security approach in the region

14. The project is led by UNDP and implemented by UNDP, UNESCO, UNFPA and UNV. The Implementing Partners are the Ministry of Economy, Ministry of Health, Ministry of Finance, Council of Ministers of Karakalpakstan, Charity Fund for Aral Gene Pool Protection (AGPF), and the International Fund for Saving the Aral Sea (IFAS). It is funded by a grant from the United Nations Trust Fund for Human Security (UNTFHS) of USD 2,000,000, contributions of USD 900,000 from the UN implementing organizations, co-financing of USD 500,000 from the government of Uzbekistan, and parallel funding of USD 1,254,000 from a project funded by the Adaptation Fund. The project was approved on August 25, 2016 and its duration is 3 years to terminate on May 15, 2019.

### **3. EVALUATION FRAMEWORK**

15. This Mid-Term Evaluation (MTE) was initiated by UNDP Uzbekistan as the leading agency of the UN Joint Programme and the commissioner of this evaluation. This MTE provides an in-depth assessment of programme achievements and progress towards its objective and outcomes.

#### **3.1. Objectives**

16. The objective of the MTE was to assess progress towards achieving the programme objective and outcomes as specified in the Programme Document and other related documents. It assessed early signs of programme success or failure with the goal of identifying possible changes to be made in order to keep/set the programme on-track to achieve its intended results. The MTE also reviewed the programme's strategy and its risks to sustainability.

#### **3.2. Scope**

17. As indicated in the TORs (*see Annex 2*), the scope of this MTE included the relevance of the programme, the quality of programme design, the efficiency of implementation, the effectiveness to date, the partnership strategy, and the potential sustainability of programme interventions. The MTE looked into the long-term effects of this programme and its potential contribution to UNDAF 2016-2020 and CPD 2016-2020 Output and Outcome level results. Finally a special attention was paid to the programme's contribution to gender equality and women empowerment, as well as evaluating gender mainstreaming in Programme design and implementation, challenges and achievements in promoting gender equality, and recommendations for improvement and wherever possible replication. As per the TORs, the key aspects reviewed are presented below:

##### ***Conceptual Design and Relevance of the Programme***

- Whether the programme responds to development priorities at the regional and national level;
- Whether the intervention is aligned with international instruments (e.g. CEDAW, ), standards and principles on gender equality and contributes to their implementation;
- Whether the intervention is informed by substantive and tailored human rights and gender analyses that identify underlying causes and barriers to gender equality;
- Whether programme measures to address gender inequalities and empower women relevant and producing the intended effect;
- Whether the programme's target groups are systematically engaged, with a priority focus on the excluded and marginalized, to ensure programme remains relevant to them;



### ***Effectiveness of the Approach Used to Produce the Programme Results***

- Whether the programme is on track in contributing to the achievement of UNDAF 2016-2020 and CPD 2016-2020 outcome and output level results;
- What are the major factors influencing the achievement of results and how far these results are attributable to UNDP?
- Revisit the underlying factors beyond the Joint Programme immediate control that influence outcomes and results and assess appropriateness and effectiveness of the Joint Programme management strategies for these factors;
- What were the main challenges that joint programme faced so far in achieving the results and whether the joint programme came up with innovative solutions to address these challenges;
- Are social and environmental impacts and risks (including those related to human rights, gender and environment) being successfully managed and monitored in accordance with the Joint Programme document and relevant action plans?
- Revisit Joint Programme Social and Environmental Screening and assess its validity, additional risks, and possible measures to address them;
- Whether Joint Programme M&E strategy enables measuring the progress towards achievement of results, including SMARTness of indicators, availability of baselines, targets, means of verification, metadata, etc.;
- To what extent gender equality is integrated into the Joint Programme results framework;
- Whether Joint Programme regularly collects six-disaggregated data;
- Whether the logical framework was useful management tool during programme implementation and whether any changes were made to it;
- Whether implementation was regularly monitored by collection relevant information/data to track the progress towards achievement of targets;

### ***Efficiency of Programme Implementation***

- Whether the programme is efficient in planning, organizing, and controlling the delivery of Joint Programme interventions in a cost-effective manner;
- Whether adequate resources are being allocated for integrating gender equality in the Joint Programme interventions;
- Whether there is efficiency in the coordination and communication processes between stakeholders and partners of the programme;
- Whether the Joint Programme design remains as the most effective option to respond to current development challenges and changes in the context? Is there any way for improving it;
- Whether the management structure of the programme, the distribution of responsibilities, and coordination mechanisms remains appropriate for the achievement of programme objectives;
- Whether any business practices and financing models contributed to increase the efficiency in delivering as one;
- Whether there is a sound partnership strategy and synergies with other similar programmes; identify opportunities for stronger substantive partnerships for the remainder of the programme duration;
- Whether the Joint Programme interventions were complementary to other development partners' interventions;

### ***Potential Sustainability***

- Whether a sustainability strategy, including capacity development of key national stakeholders is being implemented;
- Whether the results that Joint Programme is achieving/contributing are sustainable?
- Whether the Joint Programme interventions are advancing institutional change to systematically address gender equality concerns;
- Whether the Joint Programme promoting ownership and creating capacities, including organizational arrangements for sustained results at all relevant levels;
- Whether the programme is contributing to the availability of policy and regulatory framework that will support continuation of benefits;

- Whether the programme has the potential to be replicated based on implementation progress so far, and whether any steps are being taken by the programme to do so; whether there are specific good practices that can be replicated and what has made them successful;

### ***Findings and Lessons Learned***

- Outline, as logically and objectively as possible, findings and conclusions, with an emphasis on findings related to the programme approach to incorporating gender issues;
- Highlight the major problems, shortcomings, and weaknesses in order of importance;

### ***Recommendations***

- Present recommendations for corrective actions; recommendations should be objective, realistic, practical, understandable and forward looking;
- Link the recommendations logically to the findings;
- Recommend a realistic duration for implementation of remaining programme activities;
- Suggest new programme activities for the remaining part of programme implementation as deemed necessary

18. The Evaluation Team also studied the outcomes of the final evaluation of the first UN Joint Programme (2012-2016) that was conducted in December 2015-January 2016, and of the rapid assessment conducted by Universalis during the period January–May 2013 and assessed how the findings and recommendations were addressed in developing and implementing this current UN Joint Programme, including the international best-practices in applying a Human Security approach. Finally, the Evaluation Team developed recommendations on further upscaling the human security approach in Uzbekistan.

## **3.3. Methodology**

19. The methodology used to conduct this mid-term evaluation complies with international criteria and professional norms and standards; including the norms and standards adopted by the UN Evaluation Group (UNEG).

### ***Overall Approach***

20. The evaluation was conducted in accordance with the guidance, rules and procedures established by UNDP as reflected in the UNDP Evaluation Policy and in the UNDP “*Handbook on Planning Monitoring and Evaluating for Development Results*”. The evaluation also followed the “*UNEG Ethical Guidelines for Evaluation*”. The evaluation was undertaken in-line with evaluation principles such as: *independence, impartiality, transparency, disclosure, ethical, partnership, competencies/capacities, credibility and utility*. The process promoted accountability for the achievement of programme objectives and promote learning, feedback and knowledge sharing on results and lessons learned among the programme’s partners and beyond.

21. The evaluation adopted a *Utilization Focused Evaluation (UFE)*<sup>4</sup> approach, which is predicated on maximizing the practical value of the evaluation to programme stakeholders. The evaluation was planned and conducted in ways that enhanced the likely utilization of both the findings and of the process itself to inform decisions and improve performance of the programme. Using this approach, the Evaluation Team did not make decisions independently of the intended users, but they rather facilitated decision making amongst the people who will use the findings of the evaluation.

22. The Evaluation Team developed evaluation tools in accordance with UNDP policies and guidelines to ensure an effective programme evaluation. The evaluation was conducted and findings were structured around four major evaluation criteria; which are also internationally accepted evaluation criteria set out by the Development Assistance Committee (DAC) of the Organization for Economic Co-operation and Development (OECD). There are:

- *Relevance* relates to an overall assessment of whether the programme is in keeping with donors and partner policies, with national and local needs and priorities as well as with its design.

4 [http://www.betterevaluation.org/en/plan/approach/utilization\\_focused\\_evaluation](http://www.betterevaluation.org/en/plan/approach/utilization_focused_evaluation)

- *Effectiveness* is a measure of the extent to which formally agreed expected programme results (outcomes) have been achieved, or can be expected to be achieved.
- *Efficiency* is a measure of the productivity of the programme intervention process, i.e. to what degree the outcomes achieved derive from efficient use of financial, human and material resources. In principle, it means comparing outcomes and outputs against inputs.
- *Sustainability* is an indication of whether the outcomes (end of programme results) and the positive impacts (long term results) are likely to continue after the programme ends.

23. In addition to the UNDP guidance for evaluating programmes and projects, the Evaluation Team applied to this mandate their knowledge of evaluation methodologies and approaches and their expertise in local sustainable development planning integrating human security and sustainable financing. They also applied several methodological principles such as (i) *Validity of information*: multiple measures and sources were sought out to ensure that the results are accurate and valid; (ii) *Integrity*: Any issue with respect to conflict of interest, lack of professional conduct or misrepresentation was immediately referred to the client; and (iii) *Respect and anonymity*: All participants had the right to provide information in confidence.

24. The evaluation was conducted following a set of steps presented in the table below:

**Table 3: Steps Used to Conduct the Evaluation**

<b><u>I. Review Documents and Prepare Mission</u></b> <ul style="list-style-type: none"> <li>▪ Start-up teleconference</li> <li>▪ Collect and review programme documents</li> <li>▪ Draft and submit <b><u>Inception Report</u></b></li> <li>▪ Prepare mission: agenda and logistic</li> </ul>		<b><u>III. Analyze Information</u></b> <ul style="list-style-type: none"> <li>▪ In-depth analysis and interpretation of data collected</li> <li>▪ Follow-up interviews (where necessary)</li> <li>▪ Draft and submit <b><u>draft evaluation report</u></b></li> </ul>
<b><u>II. Mission / Collect Information</u></b> <ul style="list-style-type: none"> <li>▪ Fact-finding mission to Uzbekistan</li> <li>▪ Interview key Stakeholders and conduct field visits</li> <li>▪ Further collect programme related documents</li> <li>▪ Mission debriefings / <b><u>Presentation of key findings</u></b></li> </ul>		<b><u>IV. Finalize Evaluation Report</u></b> <ul style="list-style-type: none"> <li>▪ Circulate draft report to UNDP and relevant Partners and Stakeholders</li> <li>▪ Integrate comments and submit <b><u>final Evaluation Report</u></b></li> </ul>

25. Finally, the Evaluation Team signed and applied the “*Code of Conduct*” for Evaluation Consultants (see Annex 3). The Evaluation Team conducts evaluation activities, which are *independent, impartial and rigorous*. This MTE seek to contribute to learning and accountability and the Evaluation Team has personal and professional integrity and was guided by propriety in the conduct of their business.

### ***Review Instruments***

26. The evaluation provides evidence-based information that is credible, reliable and useful. Information was mined from programme documents as secondary information. Primary information was obtained through data-gathering activities conducted for this evaluation; most prominently interviews with key informant and site visits. Using several evaluation tools and gathering information from different types of stakeholders at different levels of management, the information collected was triangulated<sup>5</sup> through the concept of “*multiple lines of evidence*”, which validated the findings. To conduct this evaluation the following evaluation instruments were used:

**MTE Matrix:** An evaluation matrix was developed based on the scope of the evaluation presented in the TOR, the programme log-frame and the review of key programme documents (see Annex 4). This matrix is structured along the four review criteria and includes all evaluation questions; including the scope presented in the guidance. The matrix provided the overall directions for the evaluation and was used as a basis for interviewing people and reviewing programme documents.

<sup>5</sup> *Triangulation*: The use of three or more theories, sources or types of information to verify and substantiate an assessment. By combining multiple data sources, methods, analyses or theories, evaluators seek to overcome the bias that inevitably comes from single informants, single methods, single observations or single theories. (DFID, *Guidance on Evaluation and Review for DFID Staff*, London. 2005)

**Documentation Review:** The Evaluation Team conducted a documentation review in Canada and in Uzbekistan (see Annex 5). In addition to being a main source of information, documents were also used as preparation for the fact-finding mission in Uzbekistan. A list of documents was identified during the start-up phase and further searches were done through the web and contacts. The list of documents to be reviewed was completed during the mission.

**Interview Protocol:** Based on the evaluation matrix, an interview protocol was developed (see Annex 6) to solicit information from stakeholders. As part of the participatory approach, the Evaluation Team ensured that all parties view this tool as balanced, unbiased, and structured.

**Mission Agenda:** An agenda for the fact-finding mission in Uzbekistan was developed during the preparatory phase (see Annex 7). The list of Stakeholders to be interviewed was reviewed, ensuring it represented all programme Stakeholders. Then, interviews were planned in advance of the mission with the objective to have a well-organized and planned mission to ensure a broad scan of Stakeholders' views during the limited time allocated to the mission.

**Key Informant Interviews:** Stakeholders were interviewed, ensuring that a proper balance of men and women was selected (see Annex 8). The semi-structured interviews were conducted using the interview protocol adapted for each interview. All interviews were conducted in person with some follow up using emails when needed. Confidentiality was guaranteed to the interviewees and the findings were incorporated in the final report.

**Field Visits:** As per the TORs, visits to programme sites were conducted during the fact-finding mission in Uzbekistan. It ensured that the Evaluation Team had direct primary sources of information from the field and programme end-users (beneficiaries). It gave opportunities to the Evaluation Team to observe programme achievements and obtain views from stakeholders and beneficiaries at the sites level.

**Evaluation Rating:** The Evaluation Team will rate some performance criteria according to the guidance provided in the TORs (see Annex 9). It will include a six-point rating scale to rate the assessment of the intervention, monitoring and evaluation and gender mainstreaming, a two-point rating for the relevance of the programme and a four-point rating scale to rate the sustainability of programme achievements.

### 3.4. Limitations and Constraints

27. The approach for this mid-term evaluation is based on a planned level of effort of 40 days. It comprises a 5-day fact-finding mission in Uzbekistan to interview key stakeholders, collect evaluative evidence; including visits to programme sites where the programme support activities. Within the context of these resources, the Evaluation Team was able to conduct a detailed assessment of actual results against expected results and successfully ascertains whether the programme will meet its main objective - as laid down in the programme document - and whether the programme initiatives are, or are likely to be, sustainable after completion of the programme. The Evaluation Team also made recommendations for any necessary corrections and adjustments to the overall programme work plan and timetable and also for reinforcing the long-term sustainability of programme achievements.

## 4. EVALUATION FINDINGS

28. This section presents the findings of this MTE adhering to the basic structure proposed in the TOR and as reflected in the UNDP project review guidance.

### 4.1. Conceptual Design and Relevance

29. This section discusses the assessment of the project strategy – including its relevance - and its overall design in the context of Uzbekistan.

#### ***Eval. Question 1: Is the Programme relevant to national and regional priorities?***

30. The development of the Aral Sea region is a strong priority for the government of Uzbekistan. One of the key government programme is the *State Programme for the Development of the Aral Sea Region 2017-2021*, which was adopted by the Presidential Decree No. IIII-2731 on January 18, 2017. This programme is

specific for the Aral Sea region and focuses on measures to improve the socio-economic condition and quality of life of people living in Karakalpakstan. The programme includes measures such as create new jobs, increase the investment attractiveness of the region, develop the water supply system, sewerage, sanitation and waste disposal, improve living conditions of the population and develop the transport, engineering and communication infrastructure of settlements. The action plan to implement this programme is composed of 67 projects worth 8.422 trillion soms (USD 2.58 billion). To ensure a reliable and stable financing of the implementation of these measures, this programme plans the establishment of a fund for the development of the Aral Sea basin.

31. Nationally, the development of Uzbekistan is led by the *Development Action Strategy 2017-2021*, which was adopted by a Presidential Decree on February 7, 2017. This strategy is overseen by a National Commission and includes the priorities for all government agencies and officials. It focuses on five priority areas: (i) improving the system of state and social construction; (ii) ensuring the rule of law and reforming the judicial system; (iii) development and liberalization of the economy; (iv) development of the social sphere; and (v) ensuring security, inter-ethnic harmony and religious tolerance, implementation of balanced, mutually beneficial and constructive foreign policy. Furthermore, it was noted that the government of Uzbekistan has also been reforming its agricultural sector over the last few years to improve the rights of farmers and the efficiency of agricultural systems as well as the organizational structure to support the development of agriculture.

32. In addition to these programme and strategy, Uzbekistan is also part of the International Fund for Saving the Aral Sea (IFAS). IFAS was established in 1992 on the initiative of the Heads of the Central Asian States for the purpose of improving the social, economic, and ecological situation in the basin of the Aral Sea. The last programme of actions providing assistance to the countries of the Aral Sea Basin covered the period 2011-2015 and was called the Aral Sea Basin Programme (ASBP-3). It was funded by Central Asia governments and donors with a total budget of USD 9.5B. Currently, IFAS has been developing the next programme ASBP-4. This programme will focus on the following main areas: integrated use of water resources, ecological direction, socio-economic direction, improvement of institutional and legal mechanisms.

33. The UN joint programme is much aligned with government strategies and priorities for the development of the Aral Sea region. It was developed in close collaboration with government partners. As a result, the programme enjoy a strong government commitment, including a strong budget commitment. According to the UN Resident Coordinator, the Cabinet of Ministers of the Republic of Uzbekistan recently approved the financing of the Multi-Partner Human Security Trust Fund (MPHSTF) for the Aral Sea region for about USD 5 to 10M per year.

#### ***Eval. Question 2: How is the Programme aligned with international instruments?***

34. When considering the objectives of the programme, which is to focus on the human security needs of populations affected by the Aral Sea disaster and the establishment of a sustainable financial mechanism to implement human security initiatives, it is well aligned with the human security initiative of the United Nations (UN). As noted in the UN General Assembly resolution 66/290, “*human security is an approach to assist Member States in identifying and addressing widespread and cross-cutting challenges to the survival, livelihood and dignity of their people.*” It calls for “*people-centred, comprehensive, context-specific and prevention-oriented responses that strengthen the protection and empowerment of all people.*” It states that the human security approach is a proven analytical and planning framework that supports more comprehensive and preventive responses by the United Nations, cutting across sectors, developing contextually relevant solutions, and adopting partnerships to help realize a world free from fear, want and indignity.

35. In order to strengthen the UN response to human security, the UN Trust Fund for Human Security (UNTFHS) was created in March 1999. This financing instrument brings diverse partners together to collaborate with Governments in addressing the needs and vulnerabilities of local communities. Projects advance empowerment and capacity-building measures that increase the resilience of vulnerable communities and people. Projects are selected according to their ability to provide concrete and sustainable benefits to people and communities facing threats to their survival, livelihoods and dignity. They employ integrated strategies that respond to specific situations of human insecurity, strengthen social harmony, and are oriented

towards the prevention of crises and the promotion of long-term development.

36. In Uzbekistan, the UN Development Assistance Framework (UNDAF) 2016-2020 reinforces the strong partnership between the Government and the UN Country Team (UNCT) in support of national priorities and in line with the Sustainable Development Goals for the post-2015 period, tailored to the local context. In particular, it is focused on benefitting the most vulnerable populations in the country, linked to Uzbekistan's obligations under its ratification of various international human rights instruments.

37. Following the *Development Action Strategy 2017-2021* that was developed by the government of Uzbekistan and focusing on five priority areas formulated around conceptual issues for the socio-political, socio-economic, and cultural-humanitarian transformation of the country, the UN developed a roadmap 2017-2020 to identify the most urgent and priority areas of cooperation. Several areas in this roadmap are related to this UN joint programme. It focuses on climate change adaptation and water management as priority issues; the need to mitigate the drying up of the Aral Sea and prevent the collapse of the ecosystems in the Aral Sea region; the creation of a Trust Fund for the Aral Sea and the Aral Sea Region; and the promotion and protection of fundamental rights and freedoms of the citizens.

38. Under its Country Development Programme 2016-2020, UNDP seeks to create opportunities for human development for sustainable economic growth. Under this priority area, UNDP set an expected result that is *"integrated, multi-sector and multi-level approach established to mitigate human security risks for communities affected by Aral Sea disaster"*, including the establishment of a financial mechanism for coordinated operationalization of human security initiatives.

39. The UN joint programme is well aligned within this context. It is focused on identifying and implementing development solutions for people living in the Aral Sea area, including the establishment of a sustainable financing mechanism for the region. Through the interventions of multiple UN agencies, the programme is able to implement activities in different sectors using the respective comparative advantage of each agency. As stated on the UNTFHS website, it is a programme that is *"providing concrete and sustainable benefits to people and communities facing threats to their survival, livelihoods and dignity."* As stated by the UN Resident Coordinator, it is a UN flagship programme in Uzbekistan where UN agencies are pulling their respective expertise together to implement initiatives based on a human security approach but also strongly rooted on the needs of the people from the Aral Sea region.

### ***Eval. Question 3: Does the Programme address the needs of targeted beneficiaries?***

40. As stated in the project document, beneficiaries would be identified through a joint needs assessment and mapping exercise at the outset of the programme. Indicators were developed to identify the most vulnerable districts/communities. Rural communities were targeted with the focus on those who did not have the means or the opportunity to migrate; however, including households that may have one member working outside the region on a seasonal basis. The strategy to conduct a needs assessment at the outset was also to identify baselines of needs. The plan was to target about 150,000 beneficiaries from 3-4 districts in Karakalpakstan facing the most significant human security challenges.

41. The final report on the *Needs of the Population in the Aral Sea Region* was conducted by the Institute for Social Research under the Cabinet of Ministers and was published in 2017. It was based on conducting a social survey of 1,600 households in 8 selected districts of the region and 8 focus groups with the participation of also 1,600 people representing local authorities and civil society. The assessment covered the development of agriculture and its priority directions; social infrastructure; education system; healthcare system; ecologic situation; gender aspects of employment; and social risks and security.

42. The assessment identified potential risks and threats to the life of the population of the Aral Sea region, including economic security; food security; demographic security; social security; environmental security; and financial security. The potential high risks (where dissatisfaction level was over 30%) were found as: 1) employment, 2) ecology, 3) transport infrastructure, 4) medicines, 5) pre-school education, and 6) drinking water. The order to these high risks varied in each surveyed district, but the prevailing risks in all 8 districts were tension in the labor market and unemployment, unfavorable ecological situation, and provision of quality

drinking water.

43. Based on the assessment of these needs, measures to be implemented by the UN joint programme were identified and recommended. The assessment established the baseline for the project and was used to develop a roadmap for programmatic interventions in the Aral Sea region to address human insecurities in a holistic way. This approach ensured that the programme address the needs of targeted beneficiaries.

### ***Gender Considerations***

44. Gender considerations were not really included in the design of this project; no specific sections discuss gender aspects of the project in the project document. It is only mentioned that gender equality was considered during the formulation of the project, and that during the implementation, gender equality will be tracked and mainstreamed throughout the activities supported by the programme. It was also stated that gender aspects in the labor market would also be considered during the needs assessment.

45. Nevertheless, the programme has a designated staff focusing on gender empowerment to promote gender mainstreaming and operationalization throughout project interventions. The programme team has been reporting gender-disaggregated progress data. For instance, in the 2017 Monitoring Stage Quality Assurance report, it is reported that *“the measures to address gender inequalities and empower women relevant includes the fact that 3 out of 6 business projects that was supported in 2017 were led by females. Moreover, 150 rural women have been trained on business development through enhancing their knowledge in economic development and entrepreneurship.”* The latter event was done jointly with the Karakalpak branch of the Business Women Association Women Committee of Karakalpakstan. It included the participation of 37 women from Takhtakupyr, 56 from Muynak, and 57 from Shumanay district. This training has increased the knowledge of participants on the basics of business development: how to start a private business, conduct a SWOT (strengths, weaknesses, opportunities and threats) analysis, and build a start-up capital.

46. Furthermore, the UNDP Gender Equality Assurance Team also provided support to streamline and strengthen gender mainstreaming in the needs assessments. The social infrastructure projects are identified based on a participatory approach of communities where the rural women/girls take part in deciding what sort of infrastructure projects should be funded by these social infrastructure projects. Other training events targeting women and girls took place this year, including awareness raising on business planning and implementation stages for 45 women and girls with the collaboration of the Council of the Youth Union of Karakalpakstan, the Women's Committee of Karakalpakstan, and the Chamber of Commerce and Industry; enhancing traditional skills on souvenirs making for 30 women seeking alternative income generation opportunities; training of 690 rural women on reproductive health and entrepreneurship; training of 170 healthcare providers on quality family planning services and pre-natal care; and enhancing skills on traditional weaving techniques and innovative design, as well as on natural dyeing technology and on the basics of culture and art of Karakalpakstan for 25 young artisans and designers.

47. Finally, as per the Programme Manager, the recent approval of additional funding through the UNDP Funding Window, it is planned to establish a consultation center in close cooperation with the Women's Committee of Uzbekistan. The center will serve as a supportive shelter in order to provide women with medical, psychological and legal support. Under this funding window funds, the programme will also organize a contest among unemployed women from remote communities in cooperation with the Women's Committee and Business Women Association, and conduct training for rural women on start-ups, and on the provision of master classes to enhance various skills of rural women.

48. Based on the assessment conducted for this evaluation and despite the fact that there is no particular gender mainstreaming strategy, the programme has been considering gender equality and gender mainstreaming throughout its implementation, including progress reporting.

### ***Eval. Question 4: Is the Programme internally coherent in its design?***

49. The *Results Framework* formulated during the design phase presents a coherent set of expected results and no changes were made to the project strategy during the inception phase. The review of the objective and outputs indicates a satisfactory and logical “*chain of results*” – Activities → Outputs → Objectives.

Programme resources have been used to implement planned activities to reach a set of expected outputs (12), which would contribute in achieving the overall two objectives of the programme. The overall strategy of this programme is twofold: (1) start the programme with an identification of the targeted beneficiaries through a needs assessment, establishment of a roadmap for interventions to be supported by the programme and based on the needs assessment; piloting innovative projects to address human security needs in selected communities, including the sustainable management and conservation of natural resources and the enhancement of primary healthcare services; and an impact assessment of these pilots; and (2) develop, establish, develop capacities and institutionalize a well-coordinated sustainable financial mechanism for implementing human security initiatives as a way to promote and mainstream the human security approach in the region.

50. The logic model of the programme presented in the *Results Framework* is summarized in table 4 below. It includes one goal, two objectives and 12 outputs. For each expected output, targets to be achieved at the end of the programme were identified.

51. This framework also includes - for each output - an extensive set of 69 indicators and 48 targets to be achieved at the end of the project. They are used to monitor the performance of the project.

**Table 4: Project Logic Model**

Expected Results	Targets at End of Project
<b>Human Security Goal “Mitigating inter-connected risks to Human Security and Building the resilience of communities affected by the Aral Sea Disaster through an integrated and multi-level approach and Ensuring sustainable support through the Establishment of a Multi-Partner Human Security Fund for the Aral Sea.”</b>	
<b>Objective 1:</b> To address the human security needs of populations affected by the Aral Sea disaster at the local and national levels	
<b>Output 1.1:</b> A baseline conducted	<ol style="list-style-type: none"> <li>1. Baseline is established</li> <li>2. Relevant HS indicators are developed and mainstreamed into the work of national statistical agencies</li> </ol>
<b>Output 1.2:</b> A Strategy/Roadmap developed with recommendations for concrete possible programmatic interventions in the Aral Sea region	<ol style="list-style-type: none"> <li>3. Strategy/roadmap for concrete programmatic interventions is developed for Karakalpakstan</li> <li>4. Roadmap for concrete programmatic interventions at selected district level developed in Karakalpakstan</li> </ol>
<b>Output 1.3:</b> Human security needs of selected communities are addressed through preparation of community development plans and implementation of innovative projects and trainings	<ol style="list-style-type: none"> <li>5. 20 community development plans are developed through extensive consultations with the communities</li> <li>6. 45-50 innovative projects are successfully completed</li> <li>7. 20 community members trained,</li> <li>8. 2 community-based tourism activities launched,</li> <li>9. 15 tourism signs, and</li> <li>10. 1 handbook on tourism for sustainable development for communities developed</li> </ol>
<b>Output 1.4:</b> Sustainable management and conservation of natural resources is promoted	<ol style="list-style-type: none"> <li>11. 40,000 Dekhan farmers have adopted climate resilient conservation agriculture practices</li> <li>12. 40,000 Dekhan farmers have adopted water saving irrigation practices at 80,000 ha dekhans farms to improve farm-level drainage and minimize salinization.</li> <li>13. Dekhan farmers have established horticulture greenhouses on 20,000 ha of farms</li> <li>14. Laws on agricultural practices and water management are amended to integrate regulations on the adoption of conservation agriculture &amp; water saving techniques</li> <li>15. 1 online course available,</li> <li>16. 3 capacity building trainings are conducted,</li> <li>17. Sustainable management and conservation of natural resources practices are enhanced,</li> <li>18. 300 farmers trained</li> <li>19. 1 cooperative network established</li> <li>20. Agronomic and water saving measures that proved to work in Uzbekistan have been identified and made publicly available</li> <li>21. User-friendly resources on effective practices of climate resilient agricultural and pastoral production systems in arid lands produced and disseminated (print and web-based) are widely available</li> </ol>



Expected Results	Targets at End of Project
	22. Frequent farm and pasture land demonstration meetings with participation of national, local authorities, media and communities are institutionalized
<b>Output 1.5:</b> Capacities of Primary Health Care Services to provide integrated mother and child healthcare are enhanced	23. Increased capacity of healthcare providers to introduce the integrated supportive supervisory system for mother and child services health services at the PHC level 24. At least 300 health care providers and 25. At least 300 Makhalla advisers trained 26. 2,000 community volunteers in 10 districts are trained to run a public awareness campaigns on preventing respiratory, cardiovascular and gastrointestinal disease 27. 140,000 people or 28% of the population reached 28. Knowledge increased by 20% 29. Local authorities create and implement relevant policies to maintain and manage the existing volunteer pool as well as to launch campaigns in media for raising awareness on preventing respiratory, cardiovascular and gastrointestinal diseases as well as promoting mother and child health; reaching 250,000 people or 50% of the population in all target districts reached with media campaign
<b>Output 1.6:</b> Multi-dimensional changes in communities' lives are assessed with particular attention on how improvement in one domain has had positive externalities in other insecurities	30. An impact assessment methodology is implemented. The results of the interim and final impact assessment are published and widely disseminated.
<b>Objective 2:</b> To establish a well-coordinated financial mechanism for implementing and sustainable financing of human security initiatives as a way to promote and mainstream the human security approach in the region	
<b>Output 2.1:</b> Framework for MPHSF developed in cooperation with Government and donor partners and approved by the Government	31. Terms of Reference for MPHSTF are developed in consultation with all relevant partners and approved by the relevant Government authorities 32. Draft Decree/legal document on establishment of MPHSF is approved by the Government.
<b>Output 2.2:</b> Governance structure of MPHSF designed and functional	33. UN MPTF office provides the necessary technical and advisory support 34. Structures of the MPHSF Steering Committee and technical secretariat are approved by the Government and have the necessary technical skills to execute their functions
<b>Output 2.3:</b> MPHSF is established and fully operational	35. MoU between the Gov't and MPTF office is approved by the parties; Standard Administrative Arrangements with donors are signed. 36. At least 2 MPHSF Steering Committee meetings conducted to launch pilot projects through MPHSF funding
<b>Output 2.4:</b> A training methodology and materials are developed in Uzbek on the human security approach and its applications	37. A range of a training package/materials on the HS in Russian/Uzbek is prepared and widely disseminated 38. Trainings for different audiences on HS are successfully conducted
<b>Output 2.5:</b> The human security approach is integrated into policy making at the national level	39. A communication strategy promoting HS approach is effectively implemented 40. Exercise on how to apply HS approach to policy cycle is effectively delivered to public servants 41. Cooperation with Government institutions and regional organization on human security is enhanced 42. 60 journalists are trained on HS and how to apply it in their work 43. 2 school curricula reflects HS approach 44. 150 educators are trained in HS approach
<b>Output 2.6:</b> The human security approach used to influence the analysis and programs of strategies and documents developed by the UN in Uzbekistan	45. UN staff and leadership visibly improved their knowledge of HS and skills of applying it 46. CCA and UNDAF reflect HS 47. HS is extensively used by UN leadership in communications with the Government and other partners 48. Background work exploring a possibility to produce an NHDR on HS is completed

52. As said previously, the review found that the programme strategy is coherent and logical. The project document provides a useful “*blue print*” for the project team to guide the implementation of the programme. Overall, it is a twofold strategy allowing the programme to quickly pilot innovative interventions addressing existing needs of targeted beneficiaries while at the same time, developing a sustainable Multi-Partner Human Security Trust Fund (MPHSTF) for the Aral Sea region. The pilots will be assessed near the end of the programme and lessons learned will be applied to the next phase of interventions which should be funded by the MPHSTF over the medium and long terms. It is an excellent approach, which include a strong collaboration among UN agencies and the government of Uzbekistan and the possibility to include other donors as well.

53. It was noted that this strategy provides good flexibility to be able to adjust the programme during the implementation, including the expansion of or new interventions that could be funded by additional funds/other donors. It is the case with an extra grant of USD 100,000 from Coca Cola through the Global Water Challenge, a coalition of leading organizations committed to achieving universal access to safe drinking water, sanitation and hygiene (WASH) that is sustainable and affordable. This grant provided financial resources to supply the remote communities in the district of Takhtakupir with clean drinking water. In early 2017, the UN joint programme signed a USD 120,000 agreement with the Swiss Development Cooperation agency (SDC) to promote effective use of water resources through local authorities, water users associations and farmers. This agreement was in line with the SDC priority theme “*infrastructure, water and climate change*.” It allows the SDC to transfer the experience and lessons learned in water management in the Ferghana valley.

54. In the meantime, despite a coherent and logical strategy, the Evaluator noted that monitoring the programme through a total of 69 indicators and 48 targets must be a difficult and time consuming task. The review conducted for this evaluation reveals that some targets are low level targets, corresponding more to the monitoring of programme deliverables as opposed to monitoring a higher level of development results (*more on this in section 4.3*).

***Eval. Question 5: How is the Programme relevant in light of other donors?***

55. The desiccation of the Aral Sea is a major environmental disaster in the world and became one of the major challenges to sustainable development of entire Central Asian region. Starting in the 1960s, the water level in the sea started to recede fast due to the offtake of water from its tributaries - the Amudarya and Syrdarya rivers. The excessive offtake of water used for irrigating farmland turned the sea into a barren desert and completely disrupt local fishing economies and overall livelihoods of communities in the region.

56. Since the 1990s, the international donor community has provided substantial financial and technical assistance to the region in order to mitigate the impact of the Aral Sea crisis and rehabilitate the area. However, these efforts have had limited impact due to inadequate coordination of the donor aid flows, duplication of activities, low degree of government ownership and non-sustainable results. Within this context, the IFAS was created in 1992 to improve the social, economic, and ecological situation in the basin of the Aral Sea. Furthermore, the Charity Social Fund for Aral Gene Pool Protection (AGPF) was also established for consolidating local and international efforts to facilitate the sustainable development of the Aral Sea region; and finally, the government of Uzbekistan established the “*Aral Sea Region Development Fund*” under the Ministry of Finance as the financial instrument to finance projects within the “*State Programme on the Development of the Aral Sea Region*” for the period of 2017-2021

57. In 2008, an international conference on “*Problems of Aral, Its Impact on the Gene Pool of Population, Plant and Animal World and International Cooperation for Alleviation of Its Implications*” was held with the support of UNDP and AGPF. It was the first attempt of open discussion on the issue. The conference ended up with the formulation of the “*Integrated Action Plan for Sustainable Development of the Aral Sea Area*.” Then, following the visit of the UN Secretary General Ban Ki-Moon to Uzbekistan in April 2010, a first UN joint programme was developed “*Sustaining livelihoods affected by the Aral Sea disaster*” and financed by the UNTFHS. The programme started in 2012 and was a joint effort of 5 UN agencies: UNDP, UNESCO, WHO, UNFPA and UNV. Under this programme, discussions were initiated on assisting the government in formulating an *Integrated Area-based Development Strategy of the Aral Sea Region*. The idea was to consider

the needs and special features of the region as well as coordinate donor aid and create an effective coordination mechanism through a multilateral trust fund.

58. Under this first UN joint programme, a study was commissioned to review the donor supported activities in Karakalpakstan for the period 2006-2011. A total of 43 projects intervening in the Uzbek Aral Sea region were reviewed. The study found that despite significant financial and technical support from the international donor community, the impact of aid was limited and focused primarily on short-term results in the region. It found that it was not effective over the long term on households well-being, socio-economic development, and on the environment. It found that in order to improve the socio-economic and environmental situation in the region, a comprehensive approach was required with intersectoral linkages. Based on the result of the assessment, the study recommended to increase coordination of efforts among donors and government of Uzbekistan; to standardize methodologies and approaches for the mobilization of aid; to provide public access to statistical data on regional development; and to establish a transparent monitoring system to measure progress made.

59. Currently, this second UN joint programme is a first step toward better coordination of development efforts in the Aral Sea region. This programme is implemented with a strong engagement of the government of Uzbekistan, including the government of the Karakalpakstan Republic and of the UN system. Other donors are involved in the development of the framework for the establishment of the MPHSTF and, once this trust fund will be launched (expected by the end of 2018), it is anticipated that donors will contribute to this fund in parallel to the government, which, according to the UN Resident Coordinator, has already committed by a decision from the Cabinet of Ministers of the Republic of Uzbekistan to finance this fund in the range of USD 5 to 10M per year. A first positive sign of donors willingness to coordinate their efforts is the recent decision (July 2018) of UNICEF to join the UN joint programme as a partner with parallel funding of USD 1.07M focusing on strengthening the overall district health system and strengthening the immunization programme, including the modernization of the cold chain facilities.

60. Finally, the recent international conference “*Joint Actions to Mitigate the Consequences of the Aral Catastrophe: New Approaches, Innovative Solutions, Investments*” held on June 7-8, 2018 in Tashkent was an excellent opportunity for the government of Uzbekistan and international donors to review the progress made for the development of the Aral Sea region and present the strategy to improve the cooperation and coordination of development players as well as attract investments to finance development of the region. This event added a strong visibility to the establishment of the MPHSTF initiative and reiterated an appeal for cooperation to all development partners.

## **4.2. Effectiveness**

61. This section discusses the assessment of project results; how effective the project is to deliver its expected results and what are the remaining barriers limiting the effectiveness of the project.

### ***Eval. Question 6: How is the Programme effective in achieving its expected results?***

62. As presented in Sections 4.1, the programme has been implemented through two (2) objectives and 12 outputs. The implementation progress is measured through a set of 69 indicators and 48 targets. On the next page is a table listing key deliverables achieved so far by the programme against each output and their corresponding targets.

**Table 5: List of Delivered Results**

Expected Results	Project Targets	Results (Deliverables)
<b>Objective 1:</b> To address the human security needs of populations affected by the Aral Sea disaster at the local and national levels		
<b>Output 1.1:</b> A baseline conducted	<ul style="list-style-type: none"> <li>Baseline is established</li> <li>Relevant HS indicators are developed and mainstreamed into the work of national statistical agencies</li> </ul>	<ul style="list-style-type: none"> <li>Developed a concept and terms of reference for the Needs Assessment survey; completed competitive bidding and issued contract in June 2017. Survey methodology agreed at a roundtable on July 6, 2017. Conducted field survey in August, 2017, covering 8 districts of Karakalpakstan, reaching 1,600 households in all 116 Mahallas of these districts. Developed final version of the Needs assessment survey report and related socio-economic and ecological maps (Atlas) and presented at a roundtable held on November 15, 2017 with key partners from government, diplomatic missions, international organizations and financial institutions (more than 70 of participants);</li> <li>Developed a database – an open information web-site on the ecological and demographic situation in the Aral Sea region. The set of statistical data (Human Security indicators) for the database pertaining to the Khorezm region and Karakalpakstan has been compiled and uploaded to the website. The database enables the policy and decision makers in the region to access quality population data to formulate and monitor socio-economic plans. It is hosted by AGPF;</li> <li>18 government specialists from Karakalpakstan, Khorezm and Bukhara regions got acquainted with the database and website content and agreed to update the database regularly at a training session organized on November 7-8, 2017.</li> </ul>
<b>Output 1.2:</b> A Strategy/Roadmap developed with recommendations for concrete possible programmatic interventions in the Aral Sea region	<ul style="list-style-type: none"> <li>Strategy/roadmap for concrete programmatic interventions is developed for Karakalpakstan</li> <li>Roadmap for concrete programmatic interventions at selected district level developed in Karakalpakstan</li> </ul>	<ul style="list-style-type: none"> <li>The concept of a <i>Development Strategy</i> for the region was designed and shared with partners including government and UN MPTF Office and presented to representatives of the relevant ministries and agencies.</li> <li>In March 2018, a Draft Programmatic Framework/Strategy was drafted consolidating the inputs from the Inter-Agency Government Working Group (IAWG) and an international consultant. A revised 2nd draft of the Strategy is under review by the UN MPTF Office and the Cabinet of Ministries of Uzbekistan;</li> <li>Development of a Regional Development Strategy for Karakalpakstan is underway;</li> <li>An Investment Guide for Karakalpakstan was developed in cooperation with the Chamber of Commerce and Industry in alignment with the Council of Ministers and Joqargi Kenges of Karakalpakstan. The strategic priorities necessary for investment to support the economic and food security of the UN JP target districts have been elaborated in the Investment Guide;</li> <li>Sent a joint Letter of Appeal in November 2017 (UN RC and the Minister of Economy) to donors' community and diplomatic corps calling to join efforts and mobilize resources under the Multi-Partner Human Security Trust Fund for the Aral Sea region;</li> <li>Series of negotiations between government officials and representatives of potential multilateral &amp; bilateral donors and IFIs were conducted in January-May 2018 to brief them with current activities and resource mobilization purposes.</li> </ul>

Expected Results	Project Targets	Results (Deliverables)
<p><b>Output 1.3:</b> Human security needs of selected communities are addressed through preparation of community development plans and implementation of innovative projects and trainings</p>	<ul style="list-style-type: none"> <li>• 20 community development plans are developed through extensive consultations with the communities</li> <li>• 45-50 innovative projects are successfully completed</li> <li>• 20 community members trained,</li> <li>• 2 community-based tourism activities launched,</li> <li>• 15 tourism signs, and</li> <li>• 1 handbook on tourism for sustainable development for communities developed</li> </ul>	<ul style="list-style-type: none"> <li>• Developed 12 community development plans in consultation with local residents from Muynak, Takhtakupir and Shumanay districts. Created 12 initiative groups in those communities, where 224 (40% female) community residents enhanced their skills through training activities on Human Security approach and social infrastructure project management;</li> <li>• Completed 4 social infrastructure projects: installation of a power transformer station; clean drinking water supply; and construction of a primary school, benefitting a total 7,150 (3,420 females) rural residents.</li> <li>• Selected 14 other social infrastructure projects: 7 installations of power transformer stations, 6 clean drinking water supply and 1 project school reconstruction, expected to benefit 6,831 (3,587 women) people in target districts (bidding process underway);</li> <li>• Provided school furniture for one primary school in Adai community of Muynak funded by the JICA Alumni;</li> <li>• Project to supply clean drinking water to the remote community of Makpalkol in Takhtakupir district underway. The project valued at USD 100,000 is funded by the New World Programme of the Coca-Cola Foundation. It will replace the water purification equipment in the local facility and benefit 1,948 rural inhabitants in the Makpalkol community;</li> <li>• Supported 6 innovative business projects on food processing and service delivery to improve economic and food security;</li> <li>• Approved 9 innovative business projects with larger scale for co-funding including 2 demonstration plots in Takhtakupir district that should result in the creation of over 30 work places;</li> <li>• In cooperation with national partners (Karakalpakstan Branch of the Chamber of Commerce and Industry, the Youth Union, Women's Committee), trained over 45 rural women in target districts on business planning and execution and increased their knowledge to design business proposals, taxation issues, how to obtain loans, how to begin a business and ways to identify the target audience through marketing research;</li> <li>• Conducted an assessment of participants to the women economic empowerment training to study their progress achieved, including best practices and lessons learnt in initiating and leading business activities (November 2017);</li> <li>• Following training on business, 3 females from Takhtakupir, Muynak and Shomanay districts started their business projects on bakery production, beauty salon and processing and packaging of agricultural products, which created 12 jobs for rural women in target communities;</li> <li>• Support the development of sustainable tourism in Karakalpakstan focusing on the diversity of the cultural and natural heritage of the region: <ul style="list-style-type: none"> <li>○ Development underway for a multi-language web-site on tourism in Karakalpakstan;</li> <li>○ Selected a tourism expert and supported his participation to online and onsite courses on sustainable tourism development, organized jointly with UNWTO in September-October 2017;</li> </ul> </li> <li>• Supported the promotion and development of traditional handicrafts to safeguard the cultural heritage and create income-generating and job opportunities for local communities in Karakalpakstan. Focus was on women</li> </ul>

Expected Results	Project Targets	Results (Deliverables)
		<p>and youth through training activities in traditional craftsmanship conducted in Karakalpakstan by national and international experts:</p> <ul style="list-style-type: none"> <li>○ Supported the participation of Karakalpak young designers and masters to the annual Traditional Textile Festival “Atlas Bayrami” (September 2017);</li> <li>○ Training on synthesis of traditional crafts and innovation design (Nukus, July 2017);</li> <li>○ Training on traditional weaving and design;</li> <li>○ Training course on traditional textile weaving (Nukus, May 2018);</li> <li>○ Ongoing individual trainings for selected local ethno-fashion designers and crafts people in the field of jeweler-making, textile and carpet-weaving (July 2017-May 2018);</li> </ul> <ul style="list-style-type: none"> <li>● Training conducted by an international expert from Kazakhstan on felt weaving for Karakalpak crafts people conducted in September 2017 within the Festival “Atlas Bayrami”;</li> <li>● Regular support provided to the Crafts Development Centre in Nukus such as the provision of weaving looms for training activities conducted in the Centre.</li> </ul>
<p><b>Output 1.4:</b> Sustainable management and conservation of natural resources is promoted</p>	<ul style="list-style-type: none"> <li>● 40,000 Dekhan farmers have adopted climate resilient conservation agriculture practices</li> <li>● 40,000 Dekhan farmers have adopted water saving irrigation practices at 80,000 ha dekhans farms to improve farm-level drainage and minimize salinization.</li> <li>● Dekhan farmers have established horticulture greenhouses on 20,000 ha of farms</li> <li>● Laws on agricultural practices and water management are amended to integrate regulations on the adoption of conservation agriculture &amp; water saving techniques</li> <li>● 1 online course available,</li> <li>● 3 capacity building trainings are conducted,</li> </ul>	<ul style="list-style-type: none"> <li>● 124 local farmers and dekhans farms (13 women) from 5 pilot regions received practical knowledge and skills in applying land laser levelling technologies benefitting a total of 1,364 people (August 2017);</li> <li>● Over 50 farmers &amp; dekhans farms scaled up their knowledge on complex resource saving approaches in two pilot districts (Feb 2018);</li> <li>● 3 demonstration plots on intensive gardening in two pilot districts established on a total land area of 3ha;</li> <li>● Procurement underway of agro-conservation equipment to support climate resilience measures implemented by farmers, dekhans farms and communities in 5 pilot districts;</li> <li>● Supported the development and printing of the publication “<i>Aral Sea and Prearalie</i>” on the management and conservation of the natural assets of Karakalpakstan. The publication was compiled by the Scientific-Information Center of the Interstate Coordination Water Commission of Central Asia (SIC ICWC) with the participation of scientists from the Netherlands, Belgium and Russia;</li> <li>● Established 2 extension service centers: “<i>Konsawt Center</i>” in Kanlykul district and Nukus Branch of the Tashkent Agrarian University (NB TSAU). Provided IT equipment, soil moisture measuring devices and water salinity measuring instruments, thematic brochures and manuals in 3 languages (Karakalpak, Uzbek, Russian). Installed internet connection and furniture for the facilities: <ul style="list-style-type: none"> <li>○ The “Konsawt Center” delivered consulting services to 30 farmers and dekhans farms on climate-resilient and resource-saving methods in agriculture, and distributed 70 copies of 9 types of thematic materials (published by the Project);</li> <li>○ The extension service center under NB TSAU delivered consulting and training services to 213 representatives of farming enterprises, and distributed 190 copies of 9 types of thematic materials;</li> </ul> </li> <li>● Disseminated publications on climate resilient practices to extension centers in TSAU (1,150 copies), in Kanlikul district (1,150 copies) and Agro-industrial college in Kegeyli district (1,150 copies).</li> </ul>

Expected Results	Project Targets	Results (Deliverables)
	<ul style="list-style-type: none"> <li>• Sustainable management and conservation of natural resources practices are enhanced,</li> <li>• 300 farmers trained</li> <li>• 1 cooperative network established</li> <li>• Agronomic and water saving measures that proved to work in Uzbekistan have been identified and made publicly available</li> <li>• User-friendly resources on effective practices of climate resilient agricultural and pastoral production systems in arid lands produced and disseminated (print and web-based) are widely available</li> <li>• Frequent farm and pasture land demonstration meetings with participation of national, local authorities, media and communities are institutionalized</li> </ul>	
<b>Output 1.5:</b> Capacities of Primary Health Care Services to provide integrated mother and child healthcare are enhanced	<ul style="list-style-type: none"> <li>• Increased capacity of healthcare providers to introduce the integrated supportive supervisory system for mother and child services health services at the PHC level</li> <li>• At least 300 health care providers and</li> <li>• At least 300 Makhalla advisers trained</li> <li>• 2,000 community volunteers in 10 districts are trained to run a</li> </ul>	<ul style="list-style-type: none"> <li>• Trained 125 health specialists involved in maternal and child health services to improve supportive supervision and improve the management of MCH services;</li> <li>• Trained 320 general practitioners and midwives of PHC facilities throughout the region on improving the quality of FP and ANC at the level of PHC and using a curriculum adapted to the context of Karakalpakstan;</li> <li>• Procured SRH for basic services to PHC facilities;</li> <li>• Trained 125 Makhalla specialists on tailor-made program for Karakalpakstan Women's Committee branches at the district level, including aspects of Human Rights, people-focused interventions to improve their social and economic status and improvement of gender relations in families and communities;</li> <li>• In close cooperation with the Ministry of Health of Karakalpakstan and target district authorities, conducted a baseline survey to assess and analyze the level of knowledge of communities on respiratory, cardiovascular and gastrointestinal diseases, as well as mother and child health. 1,325 respondents in 10 target districts of Karakalpakstan were surveyed;</li> </ul>



Expected Results	Project Targets	Results (Deliverables)
	<p>public awareness campaigns on preventing respiratory, cardiovascular and gastrointestinal disease</p> <ul style="list-style-type: none"> <li>• 140,000 people or 28% of the population reached</li> <li>• Knowledge increased by 20%</li> <li>• Local authorities create and implement relevant policies to maintain and manage the existing volunteer pool as well as to launch campaigns in media for raising awareness on preventing respiratory, cardiovascular and gastrointestinal diseases as well as promoting mother and child health; reaching 250,000 people or 50% of the population in all target districts reached with media campaign</li> </ul>	<ul style="list-style-type: none"> <li>• Analyzed survey results and recommendations made for the content of health education materials and public awareness raising activities to be delivered by community-based health volunteers;</li> <li>• In collaboration with MOH specialists, developed health education materials: a training module to train 2,000 community-based health volunteers; a manual for CHVs on awareness raising activities among communities; and informative calendars for the population consisting of preventative measures for diseases and the promotion of mother and child health in Karakalpak and Russian languages;</li> <li>• Training of 350 community-based health volunteers planned to start in June 2018 in 2 target districts;</li> <li>• Developed a Joint Action Plan in collaboration with national partner organizations, which includes the institutionalization of volunteering in healthcare sector and other aspects of health-related awareness activities of volunteers.</li> <li>• A draft "Policy Brief" is being prepared in cooperation with MOH, which includes an analysis of the current situation of volunteerism in the healthcare system, experiences from previous projects, opportunities for expansion of volunteering in the field, recommendations on maintenance and coordination of the volunteer pool by MOH structures to use in other health related initiatives in the region.</li> </ul>
<p><b>Output 1.6:</b> Multi-dimensional changes in communities' lives are assessed with particular attention on how improvement in one domain has had positive externalities in other insecurities</p>	<ul style="list-style-type: none"> <li>• An impact assessment methodology is implemented. The results of the interim and final impact assessment are published and widely disseminated.</li> </ul>	<ul style="list-style-type: none"> <li>• Overall 90 women entrepreneurs from 10 target districts benefited from UNDP and UNFPA women's economic empowerment trainings;</li> <li>• Conducted an impact assessment of these activities, which indicates that knowledge received at these training events greatly motivates rural women for starting-up small businesses on food processing and service delivery, including how to apply to local authorities for advice, identify business premises, and bank procedures for receiving loans. Survey findings will be used to design larger capacity development programmes and possible business ideas to be piloted by the UN joint programme;</li> <li>• Conducted regular townhall meetings within the community "Aidin-jol" in Takhtakupir district where a new electric power transformer was installed by the programme, within communities "Beg-jap" and "Dikhanabad" in Shumanay district where two water supply projects were recently completed, and within the community "Hakim-ata" in Muynak district. These meetings contributed to a strong engagement of community members in taking part in the identification, implementation and monitoring of community social infrastructure projects;</li> <li>• An impact assessment of programme interventions on social infrastructure and business development projects is planned later in 2018;</li> <li>• Conducted an internal desk review of current situation with donor assistance in Uzbekistan, in particular in the Aral Sea region was conducted to identify best practices and challenges in implementing aid projects. The</li> </ul>



Expected Results	Project Targets	Results (Deliverables)
		findings have been incorporated into the Development Strategy and the TORs for the Multi-Partner Human Security Trust Fund for the Aral Sea region.
<b>Objective 2:</b> To establish a well-coordinated financial mechanism for implementing and sustainable financing of human security initiatives as a way to promote and mainstream the human security approach in the region		
<b>Output 2.1:</b> Framework for MPHSTF developed in cooperation with Government and donor partners and approved by the Government	<ul style="list-style-type: none"> <li>Terms of Reference for MPHSTF are developed in consultation with all relevant partners and approved by the relevant Government authorities</li> <li>Draft Decree/legal document on establishment of MPHSTF is approved by the Government</li> </ul>	<ul style="list-style-type: none"> <li>Developed and presented a draft concept note on the establishment of the MPHSTF for the Aral Sea region to relevant government agencies and submitted it to the government of Uzbekistan and UN MPTF office.</li> <li>In cooperation with the relevant government ministries, agencies and the UN MPTF office developed the TORs for the MPHSTF; currently the TORs are under review by the UN MPTF office and a particular attention is on integrating international donor assistance.</li> <li>Prepared an analytical note on legislative basis for establishing the MPHSTF;</li> <li>On June 12, 2017, the UN Secretary General, Antonio Guterres visited the town of Muynak in the Aral Sea region and was briefed on the establishment of the MPHSTF;</li> <li>Donors (representatives of diplomatic missions and international organizations) and government organizations visited Karakalpakstan on October 12-14, 2017 to raise awareness about the MPHSTF and seek cooperation;</li> <li>Consultations/roundtables during November 14-16, 2017 to develop a common vision for the establishment of the MPHSTF among line ministries and international partners;</li> <li>Roadmap on the establishment of the MPHSTF for the Aral Sea region approved (#02/1-248 dated January 16, 2018) by the Prime Minister of Uzbekistan, which includes the steps to establish the MPHSTF and the responsible ministries and agencies.</li> </ul>
<b>Output 2.2:</b> Governance structure of MPHSTF designed and functional	<ul style="list-style-type: none"> <li>UN MPTF office provides the necessary technical and advisory support</li> <li>Structures of the MPHSTF Steering Committee and technical secretariat are approved by the Government and have the necessary technical skills to execute their functions</li> </ul>	<ul style="list-style-type: none"> <li>Consulted the UN MPTF office on governance and financial structure as well as on other operational aspects of the MPHSTF, including a mission from the Portfolio Manager of the UN MPTF to Uzbekistan on June 4-8, 2018;</li> <li>An Inter-Agency Working Group was established composed of relevant ministries and agencies (<i>Decision #02/1-248 of the Cabinet of Ministers of Uzbekistan - October 11, 2017</i>) which are tasked to contribute to the development of the programmatic, monitoring and institutional frameworks of the upcoming Multi-Partner Human Security Trust Fund (MPHSTF);</li> <li>An Action Plan for the working group was drafted and is under implementation;</li> <li>The governance structure of the MPHSTF for the Aral Sea region is being defined in consultation with the MPTF Office.</li> </ul>
<b>Output 2.3:</b> MPHSTF is established and fully operational	<ul style="list-style-type: none"> <li>MoU between the Gov't and MPTF office is approved by the parties; Standard</li> </ul>	<ul style="list-style-type: none"> <li>Drafted an MOU between the Government of Uzbekistan, UN Participating Agencies and the UN MPTF office;</li> </ul>

Expected Results	Project Targets	Results (Deliverables)
	<p>Administrative Arrangements with donors are signed.</p> <ul style="list-style-type: none"> <li>At least 2 MPHSF Steering Committee meetings conducted to launch pilot projects through MPHSF funding</li> </ul>	<ul style="list-style-type: none"> <li>Drafted a standard administrative arrangements between the UN MPTF office and donors, based on a UN MPTF office template.</li> </ul>
<p><b>Output 2.4:</b> A training methodology and materials are developed in Uzbek on the human security approach and its applications</p>	<ul style="list-style-type: none"> <li>A range of a training package/materials on the HS in Russian/Uzbek is prepared and widely disseminated</li> <li>Trainings for different audiences on HS are successfully conducted</li> </ul>	<ul style="list-style-type: none"> <li>Designed and disseminated training materials on the Human Security Concept (in Russian/Uzbek languages) in collaboration with experts from the Academy of Public Administration under the President of Uzbekistan and involvement of International Human Security expert;</li> <li>Jointly with UNDP LGSP (Local governance support programme) a two-day training was conducted for 48 regional government representatives (35% females) on August 18, 2017. Focus was on applying the human security concept in regional and local planning as well as on budget planning and execution, including principles and methodologies for developing a regional development strategy and indicators to measure the socio-economic development of the region;</li> <li>Conducted training events during the period November 14-18, 2017 in Tashkent and Nukus for representatives of key ministries and departments of the government of Uzbekistan, regional authorities of Karakalpakstan, Academy of State Governance staff and specialists of UN agencies in Uzbekistan involved into the process of establishing the MPHSTF for the Aral Sea region. A total of 147 attendees participated to these training events, of which 70 attendees were from the Academy of State Governance, 25 from national ministries, 22 from regional ministries and 30 from UN agencies including the UNCT and Joint Programme staff;</li> <li>Trained 30 UN staff including the UNCT and UN Joint Programme staff on the concept of human security.</li> </ul>
<p><b>Output 2.5:</b> The human security approach is integrated into policy making at the national level</p>	<ul style="list-style-type: none"> <li>A communication strategy promoting HS approach is effectively implemented</li> <li>Exercise on how to apply HS approach to policy cycle is effectively delivered to public servants</li> <li>Cooperation with Government institutions and regional organization on human security is enhanced</li> <li>60 journalists are trained on HS and how to apply it in their work</li> </ul>	<ul style="list-style-type: none"> <li>Developed a communication strategy;</li> <li>Key activities and events of the programme have been actively promoted through various mass media sources, including national television and radio broadcastings, print media (newspapers and magazines), internet resources (sites of news agencies, official sites of organizations, social media platforms and blogs with a necessary target audience);</li> <li>Awareness on the programme was raised through various seminars and outreach sessions, workshops and roundtables, brochure, post show reports, newsletter, one-pagers, infographic, calendar, video and audio interviews, as well as a documentary;</li> <li>Outreach instruments on the human security concept were tailored to specific partners (government, international community, population (national level), mass media, beneficiaries, expert community, and business) to have a greater effect.</li> </ul>

Expected Results	Project Targets	Results (Deliverables)
	<ul style="list-style-type: none"> <li>• 2 school curricula reflects HS approach</li> <li>• 150 educators are trained in HS approach</li> </ul>	
<b>Output 2.6:</b> The human security approach used to influence the analysis and programs of strategies and documents developed by the UN in Uzbekistan	<ul style="list-style-type: none"> <li>• UN staff and leadership visibly improved their knowledge of HS and skills of applying it</li> <li>• CCA and UNDAF reflect HS</li> <li>• HS is extensively used by UN leadership in communications with the Government and other partners</li> <li>• Background work exploring a possibility to produce an NHDR on HS is completed</li> </ul>	<ul style="list-style-type: none"> <li>• The UN agencies staff and heads took part in the human security session that was organized by the HSU staff from headquarters in February 2017.</li> <li>• On November 16, 2017, a session on the human security approach was conducted for the heads of UN Agencies and relevant programme specialists of UNDP, UNESCO, UNFPA, UNODC, UNV, covering its concept and its application to various functional and thematic responsibilities of the UN, as well as how it can be integrated into various UN projects, strategies and document;</li> <li>• The advantage of the human security approach is extensively used by the UN leadership and programmes as a approach that is people-centered, context specific, comprehensive and prevention oriented in addressing the Aral Sea crisis consequences.</li> </ul>

Source: Adapted from project progress reports and information collected during the mission in Uzbekistan.

63. Overall, the programme has been successful and it is on its way to meet its targets set at the formulation stage in the planned timeframe. The review of achievements conducted for this evaluation indicates that these results will certainly contribute towards achieving the programme objectives. A mix of training activities, investments in social infrastructure projects, support to business development, regional development planning, and strengthening some government services such as health, are contributing to the first objective that is “*to address human security needs of the population affected by the Aral Sea disaster at the local and national levels.*” The formulation of a MPHSTF for the Aral Sea region with the related training of people, the promotion and communication on this financial mechanism has been successful so far and will contribute “*to establish a well-coordinated financial mechanism for implementing and sustainable financing of human security initiatives as a way to promote and mainstream the human security approach in the region*”, which is the second objective of the project.

64. The assessment conducted for this evaluation identified four critical success factors that explain this effectiveness: (1) the programme is flexible; flexibility is built in the programme strategy. It provides opportunities for the programme to adapt, pilot and expand when and where it is needed. Over time the programme was able to mobilize additional resources (from UNDP, Coca Cola Foundation and Swiss Development Cooperation agency) and expand its reach in the Aral Sea region; (2) The first set of activities implemented by the programme was to conduct a needs assessment of communities in the Aral Sea region. This exercise provided lots of pertinent information for the programme, particularly to plan its interventions. Consequently, activities supported by the programme have been a direct response to needs of local communities resulting in a strong engagement of beneficiaries throughout the implementation; (3) There is a productive collaboration between the government and UN agencies. It is mostly due to a long history of working together, including a long cooperation in the Aral Sea region. The existing trust among the partners has been a critical success factor to develop this multi-partner trust; and (4) finally the fourth success factor is the fact that the programme is implemented by a strong technical team based in Nukus, in the Aral Sea region and also the fact that most programme staff are from the Karakalpakstan region.

65. As discussed under the evaluation question 2, the programme is contributing to the achievement of the first UNDAF outcome that is “*by 2020, equitable and sustainable economic growth through productive employment, improvement of environment for business, entrepreneurship and innovations expanded for all.*” It is particularly contributing to two areas of work: (a) further improvement of business environment as a factor for ensuring sustainable growth of incomes from entrepreneurship and increasing employment; and (b) improving the efficiency of public spending to ensure sustainable socio-economic development of regions. The programme is also a major contributor to the third most urgent and priority area of the Roadmap 2017-2020 that is supporting the Development Action Strategy 2017-2021 of the government and that is “*measures to mitigate the drying up of the Aral Sea and prevent the collapse of the ecosystems in the Aral Sea region. These include implementing important projects to stabilize and improve the situation in the environmental disaster zone, including the Uzbekistan’s initiative to create a Trust Fund for the Aral Sea and the Aral Sea Region under the auspices of the United Nations.*” Finally, the programme is also contributing to the achievement of expected outputs in the UNDP Country Programme Document 2016-2020. It contributes to the first and second outcome, which are reflecting development priorities set by the government. There are: (i) achieving equitable economic growth; and (ii) improving management and equitable access to natural resources.

66. At this rate, the implementation of the programme should be successful. It is already expected that the MPHSTF will be established in late 2018 and the critical foundations for running this financial mechanism have been put in place with a strong oversight by the government through its Inter-Agency Working Group. The government has been in the “driving seat” since the early 90’s to set up a multi-partner trust fund; it is now getting close to the achievement of this major milestone for the development of Karakalpakstan.

#### ***Eval. Question 7: How is risk and risk mitigation being managed?***

67. Project risks were identified at the formulation stage and documented in the project document; including the mitigation measures for each identified risk. It is a list of seven (7) anticipated risks, which are presented in the table below as well as their respective mitigation responses.

**Table 6: List of Risks and Mitigation Measures Identified at the Formulation Phase**

<b>Project Risks</b>	<b>Impact/Probability</b>	<b>Mitigation Measures</b>
1. Limited local government commitment to supporting community level projects	Med/Med	<ul style="list-style-type: none"> <li>Requirement for cost sharing from national governments and communities for innovative projects</li> </ul>
2. Low levels of interest of project beneficiaries in making the initiatives supported by the project	Med/Low	<ul style="list-style-type: none"> <li>Promote the approaches and models that proved to be effective through the first project and those that will be fully supported by the experts and beneficiaries</li> </ul>
3. Natural disasters	High/Low	<ul style="list-style-type: none"> <li>Establish contingency funding to cover the costs associated with natural disasters</li> </ul>
4. Limited degree of collaboration of UN partners in implementing the project	High/Low	<ul style="list-style-type: none"> <li>Regular meetings of all UN partners involved into project implementation, joint progress monitoring and reporting to UN agencies' leads</li> </ul>
5. Low level of national Government commitment to human security approach and interest in implementing it in practice	Med/Med	<ul style="list-style-type: none"> <li>Extensive human security capacity building for key decision makers and public servants, with specific customization to realities of Uzbekistan</li> </ul>
6. Low level of Government commitment to Multi-Partner Human Security Fund for the Aral Sea	High/Low	<ul style="list-style-type: none"> <li>Provide extensive support through all stages of the Fund establishment and operation</li> </ul>
7. Delay in receiving financial tranches from financing Fund due to postponement of some of project activities related to external facts including delay in delivery procured equipment, unavailability of partners to conduct certain activities, etc.	Med/Low	<ul style="list-style-type: none"> <li>Strong joint collaboration in project planning and implementation with all participating UN agencies and other partners (UNDP project funded by Adaptation Fund) to ensure synchronized efforts</li> </ul>

Source: Project Document (Annex C), Project Inception Report and PIRs.

68. The management of these risks, particularly their mitigation measures, were discussed in the project document. It stated that by using adaptive management, these risks will be reviewed annually to address evolving circumstances and that the programme steering committee will be kept informed about this analysis. It also described that this list of risks were based on the experience from the previous UN joint programme and that this experience will benefit the new UN joint programme when managing these risks. Overall, the mitigation measures include good communication among implementing partners, cost sharing by local authorities and/or communities, and extensive training paired with extensive support to the government in adopting the human security approach and in establishing the MPHSTF.

69. The review conducted for this evaluation reveals that one missing risk is the lack of interest from international donors to participate and finance the MPHSTF. The current list includes the risks that UN partners, government, local government, and beneficiaries may have a limited interest to collaborate in the programme. However, to fully succeed in the medium and long term, the programme needs also the involvement of other donors; particularly their pledge to support the overall strategy for an integrated development strategy of the Aral Sea region financed by a MPHSTF. It is recommended to add this risk to the current list of risks.

70. The Evaluation Team noted that challenges faced by the programme was reported annually in the annual progress reports. These challenges are somewhat related to the list of risks above but are more specific to the context of the period reported on and activities underway. In the last report to June 2018, a list of 6 challenges were discussed, including mitigation measures implementing to mitigate these challenges.

71. Overall, the review found that risks are well managed. There are periodically updated in the UNDP-Atlas system and highlights on managing risks are reported in Quality Assurance Reports. In the 2017 report, it emphasizes that managing risks is part of running an efficient programme and that the programme board is regularly briefed on these risks and their respective mitigation measures. Due to the overall goal of the programme that is to reduce human security risks, the Evaluation Team found that overall managing risks is a major function in managing/implementing programme interventions.

### 4.3. Efficiency

72. This section discusses the assessment of how the project has been implemented. It assessed how efficient the management of the project has been and how conducive it is to contribute to a successful project implementation.

*Eval. Question 8: Is programme support channeled in an efficient way?*

#### **Management Arrangements**

73. During the formulation of the programme, the management arrangements to implement the programme were identified as follows:

- A Programme Board (PB): The PB is chaired by the Head of Department of the Ministry of Economy (MOE) and the UN Resident Coordinator. It includes representatives from the governments (national and regional), and the four participating UN Agencies. PB meetings also involves international donors and civil society representatives depending on the agenda of meetings. The purpose of the PB is to set the strategic and policy direction of the programme, and making fund allocation decisions. A member of the UN Human Security Unit has been invited to be represented on the PB;
- A Project Team: Composed of a staff of 19, it provides administrative, and technical support to the Programme Board, appraising proposals for interventions to be supported by the programme, ensuring overall programme soundness, and ensuring monitoring and evaluation of the programme.

74. The PB met four times since the start of the programme: September 21, 2016, February 10, 2017, December 15, 2017 and July 12, 2018; plus an additional virtual meeting through online communication in the first part of 2018. Meetings are attended by national partners, participating UN agencies and donors. Clear agendas are prepared in advance, discussion are recorded and decisions adopted are clearly recorded in minutes for each PB meeting that are properly signed.

75. The UN joint programme is implemented by a Project Team headed by a Programme Manager in collaboration with government officials. The Project Team also provides support to colleagues from UNESCO, UNFPA and UNV as required when implementing activities supported by the programme, while also planning and implementing their own activities. It is also the platform used to organize events including those events for other agencies when it provides logistical support.

76. The Project Team is composed of a total staff of 19. This team is divided between Tashkent and Nukus:

- 13 staff are based in Nukus:
  - **1 Programme Manager**
  - 1 Team Leader on Income Generation
  - 1 Specialist on Women's Empowerment
  - 1 Team Leader on Community Resilience Building
  - 1 Team Leader on Social Services and M&E
  - 1 Administrative and Finance Specialist
  - 4 Security Guards
  - 2 Drivers
  - 1 Cleaner
- 6 staff are based in Tashkent:
  - 4 staff members are involved in the establishment of the MPHSTF and are based in the Aral Gene Pool office;
  - 1 PR and Outreach Specialist based in the UNDP CO; and
  - 1 Procurement Assistant based in the UNDP CO;

77. In addition to this Project Team, there are at least one focal point within UNESCO and UNFPA

responsible for matters related to the programme and there are 3 full-time and 4 part-time national UNVs, all based in Nukus to implement the UNV component.

78. Overall, the Evaluation Team found that the programme is efficiently implemented. There is a rather large staff to implement a programme of this size but all have clear roles and responsibilities and are performing their duties as planned. Quality of programme outputs is good and is regularly controlled by the management of the programme. Programme expenditures are prudently engaged and despite that no baseline exists to compare the cost of the programme with, it is the view of the Evaluation Team that the programme is cost-effective. The Programme Manager reports to the PB and with clear roles and responsibilities, the PB provides a good oversight on the implementation of the programme, including fulfilling a linkage role between the programme and related government ministries and agencies. As discussed earlier in this report, the UN agencies and the government have been discussing the most effective way to respond to the development challenges of this region; the option of setting up a MPHSTF has been chosen and, based on the review conducted for this evaluation, it remains the best option to scale-up development efforts in the region.

### **Programme Finances**

79. The programme is funded by a grant from UNTFHS, contributions from each participating UN agency and more recently by additional financial resources that the programme was able to mobilize. The UNTFHS grant of USD 2M has been distributed among the participating UN agencies. As per the UNTFHS requirements, the grant funding the joint programme is implemented through the parallel funding modality. Each agency, is responsible for its portion of the grant and implements its part of the programme following its own set of procedures. The table below presents the allocation of the UNTFHS grant among the participating UN agencies and their respective contributions to the UN joint programme.

**Table 7: UNTFHS Grant and UN Agencies Contributions**

Component	UNTFHS Grant (USD)	Own Contributions	Total Budget	%
UNDP	\$1,362,000	\$647,000	\$2,009,000	69%
UNESCO	180,000	81,000	261,000	9%
UNFPA	298,000	100,000	398,000	14%
UNV	160,000	72,000	232,000	8%
<b>TOTAL</b>	<b>\$2,000,000</b>	<b>\$900,000</b>	<b>\$2,900,000</b>	<b>100%</b>

Sources: Information collected from the Programme Team.

80. The total financing of the programme was USD 4,154,000 at the formulation stage. In addition to the financial contributions presented above, it also included parallel funding from an Adaptation Fund funded project “*Developing Climate Resilience of farming communities in the drought prone parts of Uzbekistan*”, which finances most of the output 1.4 of this programme. The table below presents the overall budget of the UN joint programme as it was presented in the programme document submitted to the UNTFHS. The information is presented per source of funding and per objective.

**Table 8: Programme Financing<sup>6</sup>**

Component	UNDP	UNESCO	UNFPA	UNV	AF Project <sup>7</sup>	Total (USD)	%
Objective 1	\$953,106	\$183,224	\$378,505	\$221,533	\$1,254,000	<b>\$2,990,368</b>	<b>72%</b>
Objective 2	339,675	66,000	-	-	-	<b>405,675</b>	<b>10%</b>

<sup>6</sup> For each UN agency it includes the UNTFHS grant and their own contributions

<sup>7</sup> This is parallel funding from the AF project “*Developing Climate Resilience of farming communities in the drought prone parts of Uzbekistan*” to finance most of the output 1.4 of this UN joint programme

Component	UNDP	UNESCO	UNFPA	UNV	AF Project <sup>7</sup>	Total (USD)	%
Programme Management <sup>8</sup>	716,219	11,776	19,495	10,467	-	757,957	18%
<b>TOTAL</b>	<b>\$2,009,000</b>	<b>\$261,000</b>	<b>\$398,000</b>	<b>\$232,000</b>	<b>\$1,254,000</b>	<b>\$4,154,000</b>	<b>100%</b>

Sources: Programme document and information collected from the Programme Team.

81. It was noted that almost  $\frac{3}{4}$  of the overall budget of the programme was to be expended on the first objective. It includes: conduct training activities; support business development; strengthen regional development planning; promote sustainable use and conservation of natural resources; strengthen the health services; and particularly invest in social infrastructure projects. A further 10% is allocated to objective 2 that is to set up a MPHSTF for the Aral Sea region and 18% allocated to project management and administration.

82. As of May 31, 2018, the review of the financial records indicate that the programme has expended USD 818,612 (41%) of the UNTFHS grant (USD 2M). The breakdown by UN agency of programme expenditures funded by the UNTFHS is presented in the table below.

**Table 9: Status of the UNTFHS Grant<sup>9</sup>**

UN Agency	UNTFHS Grant (USD)	Actual Expenditures	Remaining Budget	Actual/ Total Grant
UNDP	1,362,000	462,290.38	899,710	34%
UNESCO	180,000	77,756.00	102,244	43%
UNFPA	298,000	218,623.11	79,377	73%
UNV	160,000	59,942.84	100,057	37%
<b>TOTAL</b>	<b>2,000,000</b>	<b>818,612</b>	<b>1,181,388</b>	<b>41%</b>

Sources: Information collected from the Programme Team.

83. There is a remaining UNTFHS grant amount of USD 1,181,388 or 59% of the total grant as of May 31, 2018. The level of disbursement of the UNTFHS grant is somewhat slow when compared to the elapsed time of the programme. Only 41% is spent as of May 31, 2018 versus an elapsed time of 67% (24 months out of 36). Differences among the levels of disbursement among UN agencies were noted, going from 34% expended for UNDP to 73% for UNFPA.

84. Overall, as of end of May 2018, the review of financial records of the programme indicates that the total actual expenditures represent about 39% (USD 1,521,028) of the total budget of USD 3,920,000. This budget includes the UNTFHS grant, the contributions of the four UN agencies and additional funding sources mobilized during the implementation of the programme (*see below section on Resource Mobilization*); note that it does not include the parallel funding of the AF project. This level of disbursement compares to an elapsed time of 67% (24 months out of 36). The breakdown of project expenditures by objective and by funding sources is presented in the table below.

<sup>8</sup> Includes indirect support costs

<sup>9</sup> Financial figures as of May 31, 2018



**Table 10: Programme Funds Disbursement Status**

Component	Total Budget (USD)	Expenditures (as of May 31, 2018)			Total Expenditures (USD)	Total Expended/ Budget
		UNTFHS Grant	UN Agency Contributions	Additional Sources		
Objective 1	\$2,666,018	\$638,520	\$119,326	\$215,371	\$973,217	37%
Objective 2	375,683	38,031	29,699		67,730	18%
Programme Management	878,299	142,061	260,959	77,061	480,081	55%
<b>TOTAL</b>	<b>\$3,920,000</b>	<b>\$818,612</b>	<b>409,984</b>	<b>\$292,431</b>	<b>\$1,521,028</b>	<b>39%</b>

Sources: Programme document and information collected from the Programme Team (as of end of May 2018).

85. The total level of disbursement is behind when compared with the overall implementation timeline (39% vs. 67%). When looking at the disbursement level per funding sources as of end of May 2018, 41% have been spent from the UNTFHS grant, 46% from the UN Agency contributions and 29% from the additional funding sources. It was noted that some of these additional funding sources were recently secured; explaining why the level of disbursement for these additional funding sources is lower than other financing sources.

86. From an objective point of view, 37% of the budget for objective 1 has been spent so far but only 18% for objective 2. The review found that this level of expenditures per objective is somewhat logical. Most activities under objective 1 are either underway or completed. However, under objective 2, a budget of over USD 300,000 is left for supporting the establishment of the MPHSTF. It will be used for establishing this trust fund. It is planned to be launched in September 2018, then this new financial mechanism will need to be created, including setting up offices, procedures, staffing, training, etc.

87. Based on the review, it is unlikely that the entire budget of the programme will be expended by the end of the programme in May 2019. If there is a remaining budget as of May 2019, it is recommended that the timeline of the programme be extended, using this time to consolidate its achievements; particularly the start-up phase of establishing the MPHSTF.

### Resource Mobilization

88. The programme has also been successful to mobilize additional financial resources from other donors. The table below presents these additional sources with their respective commitments and expenditures as of end of May 2018.

**Table 11: Additional Sources of Funding**

Partner	Budget (USD)	Expended /Commitments (USD)	%
Swiss Development & Cooperation Agency (SDC)	\$120,000	\$60,345	50%
AGPF	500,000	168,956	34%
New World Programme (Coca Cola Foundation)	100,000	62,746	63%
UNDP "Global Funding Windows"	300,000	384	0%
<b>Total (USD)</b>	<b>\$1,020,000</b>	<b>\$292,431</b>	<b>29%</b>

Source: Information collected from the Programme Team (as of end of May 2018)

89. The Programme Team was able to mobilize an extra USD 1,020k that is an additional budget of 35% over the USD 2.9M contributions from the UN agencies and UNTFHS. It is an excellent achievement which show the strong interest in this initiative from other donors and, hopefully, the positive sign of financial pledging from the international donor community once the trust fund will be established.

90. In addition to these additional financial contributions to support programme activities, the programme

was also successful in sourcing “in-kind” contributions:

- The programme was able to involve the JICA Alumni who directly granted the procurement of furniture and equipment for USD 4,000 to a school that was built with the support of the UN joint programme in the Muynak district;
- Under the first joint programme, the Turkish Cooperation and Coordination Agency (TIKA) cooperated with the programme with a budget support of USD 106,000, used to establish two honey canning workshops and a wax production workshop. No further cooperation is set yet under this UN joint programme but initial discussions with TIKA under the call to all partners for cooperation under the upcoming MPHSTF has taken place.
- Following a recent visit of the Ambassador of Israel to Karakalpakstan, the Agency for International Development Cooperation (MASHAV) agreed to conduct two training workshops in Karakalpakstan facilitated by Israeli experts during the period Nov-December 2018. These workshops will focus on: bee-farming and irrigation. An MOU is currently being prepared between UNDP and MASHAV.

91. The review of the financial aspect of the programme indicates that financial resources have been used prudently and efficiently. The administrative/financial system put in place by the project has been providing the required service to the programme as expected; no complaints were recorded by the Evaluation Team. The additional sources of funding were noted and provided valuable resources to implement more social infrastructure projects for communities facing the most significant human security challenges in the Aral Sea region. It certainly contributed in increasing the effectiveness of the programme.

92. In line with guidelines from each donor, financial reports are prepared annually and are provided to the respective donors. Regarding the main donor (UNTFHS), certified financial statements from each UN agency are provided annually as part of the annual progress reports. In the meantime, despite good administrative and financial systems in place, the Evaluation Team could not find a consolidated table summarizing the full financial status of the programme presenting the total actual expenditures against the total budget of \$4,154,000 as presented in table 8 above. It is recommended that the consolidated table 9 above be part of each progress report with relevant notes to provide some details.

93. Finally, assessing the cost-effectiveness of this type of programme is a difficult task. Nevertheless, despite no baseline to compare the programme with, when analyzing the list of results achieved (table 5) in parallel to what the programme has spent so far (table 9), it is a cost-effective programme.

### ***Work Planning***

94. Programme Annual Work Plans (AWPs) have been produced every year from 2016. These AWP were developed following the calendar year cycle (January to December for each year). Once finalized, these AWP were reviewed and endorsed by the Programme Board and approved by the respective UN agencies. These AWP details the list of main activities to be conducted during the coming year following the structure of the log frame (objective, outputs and main activities) of the programme. For each main activity, a tentative schedule (per quarter) for its implementation is given, the funding source(s) and a corresponding budget to conduct each activity. In addition, targets for the corresponding year are also included in these AWP for each objective (2).

95. Based on the information collected, the Evaluation Team compared the UNDP budgeted annual work plans<sup>10</sup> with the actual annual disbursements, the results are presented in the table below:

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10 These annual AWP budgets were done within an overall budget to implement the programme that comprises only the UNTFHS grant to UNDP (USD 1,362,000) and UNDP own contribution (USD 647,000). It does not include the rest of the UNTFHS grant to other UN agencies and their own respective contribution to the programme (see more under the “Finance” sub-section below).

**Table 12: Annual Work Plans versus Actual Expenditures**

Years	AWP Budgets	AWP Revised Budgets	Actual Expenditures	% Expended
2016	592,223	81,488	77,034	95%
2017	741,348	754,274	695,124	92%
2018	1,117,926	1,247,211		-
2019	810,165	-	-	-

Sources: Project AWP and information collected during the mission to Uzbekistan

96. Apart from the 2016 budget that was drastically revised due mostly to a delay in starting the implementation of the programme (from USD 592,223 to USD 81,488), work planning has been efficient for both years with a ratio of over 90% of the planned budget expended during each year. These budget numbers are produced on the basis of an overall budget that has been increasing over time due to the successful mobilization of additional funds by the programme.

### ***Monitoring and Evaluation (M&E) System***

97. A brief monitoring and evaluation framework was developed during the formulation of the project in accordance with standards and established procedures of each participating UN agency. It was expected that each implementing agency would ensure that their internal monitoring systems are aligned with the endorsed joint M&E plan. In the project document, no overall M&E budget was allocated for monitoring the programme. However a Team Leader on Social Services and M&E was budgeted to monitor the programme and a budget of \$24,000 was allocated to both a mid-term and a final evaluation of the programme. It was planned that regular progress review would be conducted by the Programme Team and consolidated in annual progress review reports. A particular point in the project document was to ensure that the programme would disaggregate data (e.g. women, men, elderly, poor population, persons with disabilities, children) to reflect the human security approach.

98. Critical components of this M&E framework are a baseline survey that was to assess the multiple human security threats to the target populations, and the consequences of these in different domains to be carried out at the beginning of the programme as well as an impact assessment to be carried out at the end of the project. This impact assessment was to assess the effectiveness and impact of project interventions on human security of the targeted populations. It was also planned that the baseline and the impact assessment would be combined in an analytical study analyzing the conditions 'before' and 'after' the UNTFHS investment. It was planned that this study should allow the identification of lessons for similar cases. The baseline study was conducted in 2017 (see Section 4.2).

99. Finally, it was planned that the primary users of these monitoring results would be the programme board, which serves as a mechanism for review, analysis and taking the necessary decisions and actions during the implementation of the project. UNDP, as the lead agency, facilitates the process of the field monitoring jointly with national partners through visits to project sites, meeting with beneficiaries and getting direct feedback on the progress and results of the project.

100. This M&E framework was to be further developed during the implementation of the programme with the development of a detailed monitoring matrix to collect data against each indicator. Such matrix was provided in the programme document. The set of indicators and targets presented in the *Results Framework* was reviewed during this evaluation. It includes a set of 69 output indicators and 48 targets to be met by the end of the project; it is used to monitor the performance of the programme at the output level. The list of these indicators and targets is presented in the table below:

**Table 13: List of Performance Indicators**

Project Outcomes	Indicators	Targets
<b>Objective 1:</b> To address the human security needs of populations affected by the Aral Sea disaster at the local and national levels		
<b>Output 1.1:</b> A baseline conducted	1. Completion of field observations, surveys 2. Development of HS indicators along with justification for their selection 3. Disaggregated HS indicators by low income families, unemployed, women, youth, elderly and persons with disabilities 4. Communities are assessed through a number of HS indicators such as access to basic services (e.g., access to piped drinking water, electricity; and access to healthcare).	1. Baseline is established 2. Relevant HS indicators are developed and mainstreamed into the work of national statistical agencies
<b>Output 1.2:</b> A Strategy/Roadmap developed with recommendations for concrete possible programmatic interventions in the Aral Sea region	5. Background analysis for development of the Strategy/roadmap is completed 6. Strategy/roadmap is developed 7. Development plans for selected districts developed	3. Strategy/roadmap for concrete programmatic interventions is developed for Karakalpakstan 4. Roadmap for concrete programmatic interventions at selected district level developed in Karakalpakstan
<b>Output 1.3:</b> Human security needs of selected communities are addressed through preparation of community development plans and implementation of innovative projects and trainings	8. #of community plans developed 9. # of community projects implemented 10. # of people with improved access to basic services such as water, gas and electricity 11. Innovative ideas in the areas of income generation and agricultural practices, with community involvement, are explored; A list of criteria to choose innovative projects (business/demonstration plots), with strong potential for region-wide replication is developed; # business project proposals received and evaluated; # of business projects/demonstration plots implemented; # of people (gender disaggregated) with improved access to food and other means of income generation 12. Alternative livelihoods (sources of income) are created through additional incomes from fruits and vegetables cultivation for personal consumption and sale; The most relevant and effective projects are supported 13. # of capacity-building activities in community-based tourism development and traditional handicrafts 14. # of community-based tourism activities launched 15. Tourism information improved	5. 20 community development plans are developed through extensive consultations with the communities 6. 45-50 innovative projects are successfully completed 7. 20 community members trained, 8. 2 community-based tourism activities launched, 9. 15 tourism signs, and 10.1 handbook on tourism for sustainable development for communities developed

Project Outcomes	Indicators	Targets
	16. One handbook on tourism for sustainable development for communities	
<b>Output 1.4:</b> Sustainable management and conservation of natural resources is promoted	17. climate resilient conservation agriculture practices adopted on 80,000 ha of dekhani farms 18. # of dekhani farmers adopted conservation agriculture practices; # of dekhani who adopted practices to improve farm-level drainage and minimize salinization; # of dekhani farmers who adopted water saving irrigation practices 19. # of male and female lead horticulture greenhouses established 20. # of legal background documents produced 21. # of consultations conducted 22. An online course for higher educational and teacher training institutions on sustainable development prepared 23. # of capacity-building activities and trainings promoting sustainable management 24. Number of farmers/dryland users trained 25. Cooperative network established among local actors (universities, scientists, practitioners, policy-makers and communities) 26. Inventory of all tested agronomic and water saving is completed and available. 27. # of documented good practices of agronomic and water saving measures. 28. # of lessons learned bulletins disseminated 29. through printed and web-based media. 30. # of farm and pasture land demonstration 31. meetings covered by media and attended by national and local authorities	11. 40,000 Dekhani farmers have adopted climate resilient conservation agriculture practices 12. 40,000 Dekhani farmers have adopted water saving irrigation practices at 80,000 ha dekhani farms to improve farm-level drainage and minimize salinization. 13. Dekhani farmers have established horticulture greenhouses on 20,000 ha of farms 14. Laws on agricultural practices and water management are amended to integrate regulations on the adoption of conservation agriculture & water saving techniques 15. 1 online course available, 16. 3 capacity building trainings are conducted, 17. Sustainable management and conservation of natural resources practices are enhanced, 18. 300 farmers trained 19. 1 cooperative network established 20. Agronomic and water saving measures that proved to work in Uzbekistan have been identified and made publicly available 21. User-friendly resources on effective practices of climate resilient agricultural and pastoral production systems in arid lands produced and disseminated (print and web-based) are widely available 22. Frequent farm and pasture land demonstration meetings with participation of national, local authorities, media and communities are institutionalized
<b>Output 1.5:</b> Capacities of Primary Health Care Services to provide integrated mother and child healthcare are enhanced	32. Improved knowledge in integrated supportive supervisory system for mother and child services health services at the PHC level 33. Improved skills to operate integrated supportive supervisory system for mother and child services health services at the PHC level 34. Number of health care providers trained in modern family planning methods	23. Increased capacity of healthcare providers to introduce the integrated supportive supervisory system for mother and child services health services at the PHC level 24. At least 300 health care providers and 25. At least 300 Makhalla advisers trained 26. 2,000 community volunteers in 10 districts are trained to run a public awareness campaigns on

Project Outcomes	Indicators	Targets
	35. Number of new Makhalla that have a Makhalla adviser trained as outreach educators 36. Number of volunteers trained 37. Number of awareness campaigns undertaken 38. Number of people reached 39. Increase in knowledge % 40. # of new policies and approaches to maintain and manage the existing volunteer pool introduced by local authorities 41. # of completed trainings on how to manage volunteer pools, including the number of participants 42. Number of people reached with media campaign	preventing respiratory, cardiovascular and gastrointestinal disease 27. 140,000 people or 28% of the population reached 28. Knowledge increased by 20% 29. Local authorities create and implement relevant policies to maintain and manage the existing volunteer pool as well as to launch campaigns in media for raising awareness on preventing respiratory, cardiovascular and gastrointestinal diseases as well as promoting mother and child health; reaching 250,000 people or 50% of the population in all target districts reached with media campaign
<b>Output 1.6:</b> Multi-dimensional changes in communities' lives are assessed with particular attention on how	43. Findings of the initial baseline study are captured and analyzed; Indicators and tools to assess changes in communities' lives are developed; # of town hall style discussions are conducted with communities to assess relevance and effectiveness of interventions; # of printed copies (on-line downloads) for assessments; Assessments well-received by local partners, necessary adjustments to inter-ns are made	30. An impact assessment methodology is implemented. The results of the interim and final impact assessment are published and widely disseminated.
<b>Objective 2:</b> To establish a well-coordinated financial mechanism for implementing and sustainable financing of human security initiatives as a way to promote and mainstream the human security approach in the region		
<b>Output 2.1:</b> Framework for MPHSF developed in cooperation with Government and donor partners and approved by the Government	44. Country assessment (institutional and legislative basis) is completed 45. Consultations with the necessary partners are completed 46. Draft Decree/legal document on establishment of MPHSF in Uzbekistan is prepared.	31. Terms of Reference for MPHSTF are developed in consultation with all relevant partners and approved by the relevant Government authorities 32. Draft Decree/legal document on establishment of MPHSF is approved by the Government.
<b>Output 2.2:</b> Governance structure of MPHSF designed and functional	47. # of consultations with UN MPTF office 48. # of missions from UN MPTF to Uzbekistan 49. # of trainings provided to national partners to support establishment of MPHSF 50. # study tours and their participants 51. Structures of the MPHSF Steering Committee and technical secretariat are approved by the Government	33. UN MPTF office provides the necessary technical and advisory support 34. Structures of the MPHSF Steering Committee and technical secretariat are approved by the Government and have the necessary technical skills to execute their functions
<b>Output 2.3:</b> MPHSF is established and fully operational	52. MoU between the Government of Uzbekistan and MPTF office is signed 53. Standard Administrative Arrangements with donors are finalized and signed off by the partners	35. MoU between the Gov't and MPTF office is approved by the parties; Standard Administrative Arrangements with donors are signed. 36. At least 2 MPHSF Steering Committee meetings conducted to

Project Outcomes	Indicators	Targets
	54.# MPHSF Steering Committee meetings 55.# of projects supported by MPHSF	launch pilot projects through MPHSF funding
<b>Output 2.4:</b> A training methodology and materials are developed in Uzbek on the human security approach and its applications	56.# of resources prepared in Uzbek/Russian 57.# of copies distributed 58.# of resources downloaded 59.# of government officials trained, disaggregated by gender, level of government; # training materials developed in different HS subject areas; # of trainings provided to the staff of the UN on the human security approach and how it can be integrated into various UN projects, strategies, documents etc. Analysis how HS was integrated into government operations in response to report recommendations	37.A range of a training package/materials on the HS in Russian/Uzbek is prepared and widely disseminated 38.Trainings for different audiences on HS are successfully conducted
<b>Output 2.5:</b> The human security approach is integrated into policy making at the national level	60.# of awareness raising interventions/workshops for Government officials at the local, regional and national levels; # of communication and awareness raising resources produced and distributed; # of references made to HS approach by UN agency staff and leadership in their public presentations and public events 61.# of exercise participants 62.# of formal cooperation agreements with partners on HS 63.# of journalists trained and number of media coverage 64.# of educational resources reviewed 65.# of teachers trained	39.A communication strategy promoting HS approach is effectively implemented 40.Exercise on how to apply HS approach to policy cycle is effectively delivered to public servants 41.Cooperation with Government institutions and regional organization on human security is enhanced 42.60 journalists are trained on HS and how to apply it in their work 43.2 school curricula reflects HS approach 44.150 educators are trained in HS approach
<b>Output 2.6:</b> The human security approach used to influence the analysis and programs of strategies and documents developed by the UN in Uzbekistan	66.# of regional and district local government officials trained; # of training materials developed in different subject areas 67.# of elements of HS approach used in CCA and UNDAF 68.# of references to HS made by UN leadership in communication with the Government and other partners 69.Exploratory paper on the feasibility of preparing an NHDR or other study on HS is drafted and submitted for senior UNDP management consideration	45.UN staff and leadership visibly improved their knowledge of HS and skills of applying it 46.CCA and UNDAF reflect HS 47.HS is extensively used by UN leadership in communications with the Government and other partners 48.Background work exploring a possibility to produce an NHDR on HS is completed

Source: Project Document and Progress Reports

101. This set of 69 indicators and 48 targets did not change since the formulation of the project. These indicators and targets have been used yearly to measure the progress made. This progress has been reported annually in results monitoring reports, showing main activities, implementing agencies, timing, indicators, baselines, targets and progress made and contain sex-disaggregated data. In addition to these monitoring reports tracking the progress made through indicators/targets, annual progress reports have been completed.

102. Overall, the indicators to measure the progress made by the programme are SMART<sup>11</sup>. There are generally specific and easily measurable and are also achievable, relevant and time-bound. However, the review of the M&E system indicates that there are too many indicators and targets, which renders the monitoring function of the programme complicated and time consuming for limited added value. At the same time, no indicators were identified to monitor the progress made at the objective level.

103. In several instances there are too many indicators to measure the progress toward the expected outputs. For instance, instead of 4 indicators to measure the progress made in completing the baseline survey (output 1.1), one indicator should be enough, which could be “A human security baseline survey completed”, then 1 or 2 targets could be identified to measure the progress made. Another example are the five indicators to measure the progress made for achieving output 2.2 that is to design the governance structure for the MPHSTF. One indicator should be enough, which could be “a governance structure approved by the government”, then 1 or 2 targets to measure the progress made. It was also noted that in this case, some of these indicators are not totally relevant. Measuring the number of consultations or the number of missions from UN MPTF or the number of study tours are not directly relevant for measuring how well the programme is progressing toward the government approval of a governance structure.

104. Additionally, this list of indicators and targets is also complemented by the baseline survey that was conducted at the outset of the programme and which collected qualitative and quantitative information on human security in the Aral Sea region and an impact assessment that will be conducted near the end of the programme to assess the effectiveness and impact of the interventions supported by the UN joint programme.

105. Progress made is reported in annual progress reports. Two have been completed so far (May 2016 - May 2017 and May 2017 - May 2018). These reports have four main sections, discussing: key results; challenges faced by the programme; financial status and promotional activities. The first section lists all major results achieved during the period reported. It is a ready-friendly section that describes in plain English the key results achieved during the reported period. This section also contains 2 informative sub-sections: (i) Progress on advancement of the integration and mainstreaming; and (ii) Progress on facilitating the scaling up and replication. Under these 2 sub-sections, the Programme Team discusses two key points of such programmes: mainstreaming and scaling-up/replication. It allows the Programme Team to communicate with the Programme Board members on what has the programme accomplished, how it is mainstreamed and how the results are being scaled-up.

106. Regarding the third section on “Financial Status”, it is a somewhat a limited section to present the full financial status of the programme. In the most recent report, this section is mostly a table showing for each UN agency, the yearly approved budgets, the funds received each year, the expenditures to date and the utilization rate. There is no indication on the status of the UNTFHS grant of USD 2M, no information on the additional sources that the programme was able to raise, and no disaggregated information on expenditures by objective. It is recommended to expand this section in these progress reports to provide more information on the total financing of the programme. All this information exists internally, it is a matter of reporting it to all through progress reports and show how cost-effective is this programme.

107. Overall, this extensive M&E system has been producing good progress reports. However, too much information is collected with some redundancies. It is recommended that the M&E function be streamlined and focus mostly on collecting information that is used to draft the annual progress reports. A reduction of the number of indicators would simplify the monitoring function without changing the current quality of reporting progress.

### ***Communications – Knowledge Sharing***

108. Communication and knowledge sharing on the human security approach is part of the funding criteria from the UNTFHS. A human security-based programme needs to “*include a component designated specifically for the dissemination of the human security approach*”. As a result, the UN joint programme designed activities to communicate/disseminate the human security concept through training events, publication of articles in various media, conduct roundtables with international and national experts and used

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11 A criteria to assess the quality of monitoring indicators: Specific, Measurable, Achievable, Relevant and Time-bound.



the human security approach when collaborating with the government in drafting strategies, programmes, etc.

109. As a result, communication on the human security approach was “embedded” into the programme strategy, under output 2.5. A communication strategy was planned to be developed to start a dialogue with the government on this topic, including its added value as well as the results of the programme highlighting successes, good practices and challenges, with concrete recommendations on how the gaps can be addressed through national policies and programs.

110. A full section on “*Dissemination, public information and communications*” was part of the programme document to explain how the programme will promote the human security approach, including the hiring of a Public Relations and Outreach Specialist. It also includes an action plan for communicating the concept of human security and its approach with three objectives: (i) Improved visibility on human security for all stakeholders through official communication channels; (ii) Learn, exchange and coordinate communication and information strategies with relevant stakeholders and counterparts in order to enhance synergies on human security; and (iii) Ensure that the beneficiary population is aware of the role of the human security unit (HSU) in local development planning and implementation.

111. Communication and knowledge sharing activities are also reported in the annual progress reports. In the most recent one (May 2017 – May 2018), a full section described all the communication and promotional activities implemented during the reported period. It includes a set of appropriate handout and visibility materials with a programme moto “*The Sea is Gone, People are Not*” that was developed and disseminated during key events, workshops, seminars and trainings to raise awareness of local communities on the human security approach. Other activities include targeting the public sector/government through roundtables and training workshops; activities targeting the international community such as visit to the Aral Sea region, training workshops, international conference, and meetings; activities targeting the population through articles in media (newspaper, online media, radio, blogging, etc.); and finally, the programme produced an extensive set of communication products such as newsletter, infographics, video, publications and other promotional materials such as caps, t-shirts folders, notebooks, pens, etc.

112. The full list of communication/promotional activities is provided in Annex 10. The review conducted for this evaluation indicates that the programme has run an overall effective communication campaign in promoting the concept of human security. The programme certainly complies with the requirement to communicate and share knowledge on the human security approach required by UNTFHS.

#### ***Eval. Question 9: How efficient are partnerships and stakeholders engagement?***

113. Involving partners in such a project is not only logical, it is a critical element in achieving the expected results of the programme, particularly the establishment of a MPHSTF. The partnership strategy identified during the formulation of the programme is twofold: (i) collaborate with government ministries and agencies as much as possible seeking to mainstream the human security approach and institutionalize the MPHSTF; and (ii) develop partnerships with the international donor community to garner support for investments in rural social infrastructure projects.

114. In order to engage government ministries and agencies, the programme has been involving government partners at all national, regional and district levels. Key ministries participate to the programme decision-making process as members of the Programme Board. Regular events are organized where government officials are invited such as training events on the human security concept, consultations, working meetings, etc. (*see list of national partners in table 13 below*). At the district level, local authorities are involved in the implementation of interventions supported by the programme. They are particularly engaged in local review committees, which were formed to review and select the community-based initiatives supported by the programme. These local review committees include representatives of the Council of Ministers of Karakalpakstan, local district khokimiyat, Chamber of Commerce and Industry, Women’s Associations, and other representatives from various organizations including the Council of Farmers, Water and Agriculture Associations, etc.

**Table 14: National Partners**

National Partners	
Ministry of Foreign Affairs Ministry of Economy Ministry of Agriculture Ministry of Health Ministry of Finance Council of Ministers of KK	Committee of Nature Protection Aral Gene Pool Protection Fund IFAS Uzhydromet Chamber of Commerce and Industry

115. Regarding the partnerships with the international donor community, discussions had taken place on the need to better cooperate for the development of the Aral Sea region since the independence of Uzbekistan in 1991. A particular event that rallied this discussion was the visit of the UN Secretary General in 2015, which focused the UN on searching for ways to scale-up the international community's support to address and mitigate the impact of the Aral Sea tragedy. Since the formulation of this programme, UN agencies coordinated their effort for this region by coming together under this UN joint programme. The programme, with a strong support from the UN country team, organized several events to mobilize the international donor community. One "immediate" result of these discussions has been the identification of additional sources of funding under this programme through SDC, NWP, JICA and AGPF.

116. The review found that there is a clear strategy in place to build/develop partnerships. It is part of the implementation strategy and the programme team has been focusing on this since day one of the programme. It has already resulted in additional sources of funding for the current programme to finance extra social infrastructure initiatives and in a good collaboration with government ministries and agencies at national, regional and local levels, particularly to move the establishment of the MPHSTF forward. Key steps have already taken place such as the establishment of an Inter-Agency Working Group with its action plan, the development and approval of a roadmap to establish the MPHSTF and, according to the UN Resident Coordinator, the recent decision of the Cabinet of the Ministers of the Republic of Uzbekistan to fund this trust fund at a USD 5 to 10M level per year. The next critical step should be the official launch of the MPHSTF that is planned to be done at a high-level event on the sidelines of the UN General Assembly on the 1st of November 2018 in New York. This is where it is anticipated that the international donor community will come together and pledge their support to this important initiative for the development of the Aral Sea region.

### ***Stakeholder Engagement***

117. Similarly to communicating and disseminating knowledge on human security that is a UNTFHS funding criterion, "*building partnerships with national and international stakeholders to expand the reach of project activities and to promote greater support and replication of the human security approach*" is also a funding criterion. The project document states that as a coordination platform, the MPHSTF should provide an innovative and effective mechanism for mobilizing all stakeholders around the human security approach; both as a conceptual and operational tool for interventions in a region affected by multiple insecurities around the Aral Sea. With a good partnership with UNTFHS, this programme could also benefit from the experiences of the Human Security Unit (HSU) at the UN in managing a global human security trust fund.

118. Extensive consultations took place during the formulation of this programme. All participating UN agencies were involved in the design process and committed their own resources to the implementation of this UN joint programme. Consultations were also held with government representatives at national, regional and district levels in order to decide on the implementation modality. Civil Society Organizations with a relevant focus were also consulted. Finally, the initial interests and priority needs of local communities were taken into account during the design of this programme, using the findings from the monitoring and mid-term evaluation of the first UN joint programme as well as the findings from the external evaluation and rapid assessment of the UNTFHS conducted in 2013.

119. Regarding the beneficiaries of the programme, their identification was left to the needs assessment and mapping exercise, which was planned to be conducted at the outset of the project implementation. This exercise was to identify clear baselines of needs, insecurities, aspirations and skills of local communities in seven districts of Karakalpakstan. The estimated number of beneficiaries from the programme was approximately

150,000 people facing the most significant human security challenges with a focus on rural communities and particularly those who do not have the means or the opportunity to migrate.

120. The review confirms the strong focus of the programme on beneficiaries facing significant human security challenges and focusing on rural communities. The approach used by the programme to engage stakeholders resulted in a strong ownership of achievements by beneficiaries, which should secure the long-term sustainability of these achievements. Observations made during the field visits in the Aral Sea region by the Evaluation Team revealed this strong engagement and demonstrated the benefits of addressing current needs of these communities. One example is the provision of drinking water infrastructure to the community of Begiap. After years of demanding this investment, the community now enjoys access to safe drinking water on their respective private properties instead of collecting water in the local irrigation channels. It goes without saying that this service is much appreciated by the community and it should also contribute to a better health of this community by drinking potable water.

***Eval. Question 10: Does the programme efficiently utilize local capacity in implementation?***

121. The programme implementation team has been using both international and national consultants to bring external expertise to the programme when needed to secure a quality implementation of interventions. As much as possible the programme hired national experts and contractors but it also contracted few international experts to bring up-to-date knowledge on the implementation of the human security approach when needed. In the meantime, the programme has also used extensively the expertise of the UN MPTF focal point who is based in New York such as deploying international best practices within the UN joint programme. Based on information received from the implementation team, two contracts (4% of all contracts) were directed at hiring international experts so far and 96% of contracts were to hire national consultants (individuals and contractors). It indicates a good level of expertise on human security in Uzbekistan and by efficiently utilizing this capacity, the programme contributed to raising this national expertise. Overall, the programme contributed to a high level of knowledge transfer on human security to Uzbekistan.

#### **4.4. Sustainability**

122. This section discusses how sustainable project achievements should be over the long-term. It includes a review of the management of risks and specific risks such as financial risk, socio-economic risks, institutional framework and governance risks, and environmental risks.

***Eval. Question 11: How are sustainability issues integrated in programme design?***

123. Sustainability of programme achievements were discussed in the programme document. It stated several provisions to achieve sustainability, including the continuous promotion of the human security approach to national, regional and local levels as well as to community leaders to ensure a common approach; implementation of capacity development activities to strengthen policy and making using a human security approach; events to share knowledge on the concept of human security; training of communities to maintain capital-intensive activities, etc. In the meantime, the sustainability strategy designed at the outset of the programme is also based on several assumptions: the willingness of partners to adopt the human security approach; the integration of this concept into government policies, strategies and programmes; involvement of all key players in programme supported activities; and willingness of communities to provide maintenance beyond completion of the programme. Finally, the strategy also included the expectations that the national and local governments will continue to operate the MPHSTF with the necessary on-going training support of staff and also that the communities will engage into local planning processes and be able to communicate their human security challenges as well as potential solutions.

124. The review of this sustainability strategy indicates a rather “passive” strategy that relies mostly on a set of assumptions/expectations. There is no mention of institutionalizing the achievements in this strategy, though it is a critical element in achieving sustainability of the objectives of the programme.

***Eval. Question 12: Are the results achieved by the programme sustainable?***

125. Despite a weak sustainability strategy developed at the outset of the programme, the Evaluation Team found that key achievements of the programme are being institutionalized along the implementation of the programme. The concept and TORs for the MPHSTF were developed and are under review by the government, a roadmap to establish the trust fund was approved by the government, a decision to fund the trust fund was recently made by the Cabinet of Ministers, an Inter-Agency Working Group was set-up by the Cabinet of Ministers, etc. These “intermediary” results are key to establish the MPHSTF but there are also a strong sign of “ownership” by the government. They clearly show the government commitment to the objectives of the programme.

126. The same analysis can be used for social infrastructure projects supported by the programme. When a community is finally getting drinking water after demanding this service for years instead of collecting water in irrigation channels, it is difficult to assume that these communities will not mobilize themselves to maintain these infrastructures after the completion of the programme. The same can be said for the new school built to replace an old dilapidated school in the community of Adai in the district of Muynak, and the provision of a power supply system to electrify a community. All together these social infrastructure projects supported by the programme, which were a response to needs identified at the outset of the programme, benefited an estimated number of over 7,000 people (47% women and 53% men) in these communities. Observations made during the visits conducted by the Evaluation Team indicates that these communities are happy with these new services and they should contribute to their maintenance over the long-term. Additionally, once completed, the responsibilities for these social infrastructures are transferred to the respective government services which will ensure the maintenance of these infrastructures after the end of the programme.

127. Finally, the training in business development resulted in the launch of few business initiatives (bakery, beauty salon, processing and packaging agricultural products, clothing manufacture, printing, honey production, etc.) with some financial support from local authorities and the programme providing some equipment. Despite that there are no guarantees that all these initiatives will be viable over the long term, most of them should become sustainable businesses, including the creation of local jobs. Observations made during this evaluation indicates that these young entrepreneurs are keen to develop their businesses in their local communities and proud of creating local jobs.

***Eval. Question 13: Are there organizational arrangements and continuation of activities issues?***

128. One objective of the programme is to establish a MPHSTF. This objective has a long history of discussions between the government and the international donor community. As discussed in section 4.1, setting up a development trust fund for Karakalpakstan has been a government objective for a long time. After years of investments in the Aral Sea region, international donors also came to the conclusion of the need to pool resources together and better coordinate development activities. The UN joint programme has provided a platform to develop and implement this objective. As it stands, today, a concept for a MPHSTF was developed and reviewed, TORs for a MPHSTF was drafted and are now under review by the government, a roadmap to establish the trust fund was approved earlier this year, an Inter-Agency Working Group was set up by the Cabinet of Ministers. The current plan is now to formally launch this MPHSTF at a high-level event on the sidelines of UN General Assembly on the 1st of November 2018 in New York.

129. The development process has used the expertise and international best practices of the UN MPTF in New York. The process has also strongly kept its human security approach and the concept has been institutionalized in the plan to establish the trust fund. At this point, it is somewhat difficult to fully ascertain the success of establishing the MPHSTF, but based on findings of this evaluation, the chance to succeed is very high. Politically, the UN system is already fully committed to the objective and the government has engaged itself in financing this financial instrument to finance local development in the Aral Sea region. The Evaluation Team expects good news coming out of the high-level event on the sidelines of the UN General Assembly in November 2018, which would be the logical next step in sustaining this new organizational arrangement.

130. From a community mobilization point of view, the programme has also facilitated the creation of community-based Initiative Groups (IGs), which consist of community members who are willing to take an active role in community development. The IG members have been trained on the development and update of

Community Development Plans (CDPs) as well as on the process to include these plans into district and regional development plans. The good partnerships of these IGs with the appropriate government departments will contribute to the sustainability of programme activities upon completion of the Joint Programme.

***Eval. Question 14: Is there an adequate enabling environment for sustaining programme achievements?***

131. Despite a strong focus on applying the human security concept, the programme does not really focus on the existing enabling environment in Uzbekistan, including the identification of gaps and barriers for implementing this concept in the existing policy and legislative frameworks as well as in major State programmes. As discussed under evaluation question 12, there is a strong commitment from the government for this innovative approach. Additionally, no critical barriers related to the enabling environment were identified during the formulation of the MPHSTF. However, it would be beneficial for the programme to explore this area and identify potential gaps and barriers, which could limit the long-term sustainability of the programme achievements. It is recommended to conduct a study looking into the existing enabling environment and how conducive it is for implementing the concept of human security nationally.

***Eval. Question 15: Are programme achievements replicable?***

132. The replicability of practices and results achieved is somehow embedded in the design of this programme. Despite that it is not explicitly mentioned in the programme strategy (objectives and outputs), replicating and scaling-up programme achievements was a key criteria to justify the rationale of this programme. It was designed as an innovative programme seeking to apply integrated principle to interventions planning. By assessing the chain of causes and effects of insecurities of the targeted communities and designing interventions that would address these cause-effect mechanisms in a comprehensive way, it was expected that it would expand livelihoods opportunities, improve health facilities and agriculture opportunities and make governance systems better responsive to individuals and communities. It was anticipated that the knowledge accumulated in the process of establishing a multi-partner human security fund for this disaster-stricken region of the world would also reveal a number of lessons learned, which should be replicated throughout the region and in other similar undertakings elsewhere.

133. Replicability of programme achievements should also happened through the establishment of the MPHSTF. Assuming that this trust fund will officially be established as planned at the end of 2018, this financial instrument should be available to finance development in the Aral Sea region as of 2019. It is expected that financing development activities for the entire region would build on lessons learned and experiences from initiatives funded by the UN joint programme under the first objective such as social infrastructure projects and business development through training of and financial support to local entrepreneurs. Based on the evaluative evidence, it is the view of the Evaluation Team that programme achievements should be replicable in the region and other parts of Uzbekistan as well as in similar conditions in other countries and regions.

## **5. LESSONS LEARNED**

134. Several lessons learned are presented below. There are based on the review of project documents, interviews with key informants and analysis of the information collected for this evaluation:

- An approach that is first assessing the needs and priorities of targeted beneficiaries, facilitates the implementation of interventions, ensure a greater “ownership” of these interventions by the beneficiaries and by extension a greater chance for the long-term sustainability of these achievements. It provides a fact-based analysis of issues to be addressed, their root causes and lead to realistic solutions well adapted to the local context.
- Flexibility is a necessary management mechanism when implementing a programme. It allows to better respond to beneficiaries' needs and priorities. It provides the programme with the capacity to adapt to changes, including disruptive events and yet keep its overall efficiency and effectiveness. It also allows the flexibility to mobilize additional sources of funding if available and align procedures and agendas with other partners.

- A two-pronged approach seeking for short term results on one hand and long term results on the other hand is a way to mitigate the sustainability risk of this type of programme. Establishing a MPHSTF is a long term endeavor which will benefit beneficiaries only in the long term. However, implementing innovative initiatives in parallel to the establishment of the MPHSTF is an approach allowing for short term benefits for targeted local communities.
- Piloting social infrastructure projects allows a programme to demonstrate the "*Proof-of-Concept*" of these innovative interventions, which will be ready to be replicated/scaled up under the MPHSTF over the long term, benefiting of the pilot experience and lessons learned.
- A two-pronged approach contributes to building trust between the programme, government/local authorities and stakeholders and particularly the trust in the new concept that is being implemented. It builds a good “image” on what a human security approach can bring to these communities.

## Annex 1: Programme Expected Results and Planned Activities

The table below was compiled from the list of expected results and planned activities as anticipated in the programme document. It will be used during the assignment by the Evaluation Team as a succinct summary of what is expected from this programme. Progress made against these expected results and expected targets will be assessed during this evaluation and reported in the MTE report.

***Programme Goal: Mitigating inter-connected risks to Human Security and building the resilience of communities affected by the Aral Sea Disaster through an integrated and multi-level approach and ensuring sustainable support through the establishment of a Multi-Partner Human Security Fund for the Aral Sea.***

Intended Objectives	Expected Outputs	Budget per Output	Indicative Activities
<b>Objective 1</b> – To address the human security needs of populations affected by the Aral Sea disaster at the local and national levels	<b>Output 1.1:</b> A baseline conducted	<b>\$140,100</b>	<ul style="list-style-type: none"> <li>Formulation of the research Concept and Terms of Reference for the baseline to be conducted for the Aral Sea region</li> <li>Conduct the baseline study and analyze the results in terms of multi-dimensional insecurities in everyday life, causes and consequences on different domains.</li> <li>Support in improvement/development of national and regional statistics and data collection by developing human security quantitative and qualitative indicators and work with the national statistical agencies to mainstream them for annual monitoring and early warning.</li> </ul>
	<b>Output 1.2:</b> A Strategy/Roadmap developed with recommendations for concrete possible programmatic interventions in the Aral Sea region	<b>\$183,324</b>	<ul style="list-style-type: none"> <li>Elaboration of inter sectorial socio-economic development map centered on human security and development indicators;</li> <li>Development of a Roadmap/Development Strategy for the Aral Sea region</li> <li>Relevant government structures (at national, regional and district levels) built strong research and development capacities in the process of regional and local development planning;</li> <li>Unified methodology on Regional/local development planning piloted for the selected district in the Aral Sea region to improve the governance and institutional capacity of the national, regional and local partners;</li> <li>Outcomes of the development roadmap for Karakalpakstan are integrated in the state programmes for the Aral Sea Region and endorsed by the Cabinet of Ministers and Jokargi Kenges (Parliament);</li> <li>Fiscal decision-making and accountability in local government bodies improved.</li> </ul>
	<b>Output 1.3:</b> Human security needs of selected communities are addressed through preparation of community development plans and implementation of innovative projects and trainings	<b>\$790,937</b>	<ul style="list-style-type: none"> <li>20 community development plans developed through engagement of communities in participatory manner based on the human security approach;</li> <li>Implementation of at least 45-50 innovative projects through establishment of demonstration plots and business projects (in areas of agriculture, service delivery, food processing, craft, etc.);</li> <li>Livelihoods, economic, environmental and social security of local rural communities, including vulnerable groups, improved through development of community-based tourism and traditional handicrafts.</li> </ul>

Intended Objectives	Expected Outputs	Budget per Output	Indicative Activities
	<b>Output 1.4:</b> Sustainable management and conservation of natural resources is promoted	<b>\$1,330,637</b>	<ul style="list-style-type: none"> <li>40,000 Dekhkan farmers have adopted climate resilient conservation agriculture practices (e.g. low till, mixed cropping, fodder production, and residue crop soil covering adopted measures adopted at 80,000 ha of dekhkan farms).</li> <li>40,000 Dekhkan farmers have adopted water saving irrigation practices (e.g. land leveling, furrow and drip irrigation systems adopted at 80,000 ha dekhkan farms to improve farm-level drainage and minimize salinization).</li> <li>40% of targeted dekhkan farmers have established horticulture greenhouses on 20,000 ha of farms to minimize impacts of droughts on farm production.</li> <li>Legal and regulatory framework put in place to support well tested farm-based adaptation measures for replication and upscale.</li> <li>Sustainable management and conservation of natural resources (water, marginal drylands, salinized and degraded lands, biosphere reserves) is enhanced through promotion of linkages, knowledge sharing and cooperation between the universities, scientists, practitioners, policy-makers and communities to improve livelihoods in rural areas based on human security concept;</li> <li>Inventory of all tested agronomic and water saving measures conducted to map out successful practices. Analysis and lessons learned for climate resilient agricultural and pastoral production systems in arid lands documented and disseminated through printed and web-based publications. Quarterly farm and pasture land demonstration meetings with participation of national, local authorities, media and communities delivered.</li> </ul>
	<b>Output 1.5:</b> Capacities of Primary Health Care Services to provide integrated mother and child healthcare are enhanced	<b>\$515,037</b>	<ul style="list-style-type: none"> <li>Core elements of integrated supervisory system for mother and child health services are introduced by targeted Primary Health Care Services providers;</li> <li>Quality and accessibility of family planning, mother and child health services, and antenatal care are enhanced through capacity building of health care providers and provision of essential medical equipment for primary health care facilities;</li> <li>Knowledge and awareness of local population in family planning and antenatal care are enhanced through training of makhalla advisers and distribution of printed materials and electronic mass-media messages on topical issues of reproductive and maternal health;</li> <li>Awareness of the population in preventing respiratory, cardiovascular and gastrointestinal diseases as well as promoting mother and child health care is increased through training of 2,000 community volunteers in 10 districts;</li> <li>Support of local authorities to create and implement relevant policies to maintain and manage the existing volunteer pool as well as to launch campaigns in media for raising awareness on preventing respiratory, cardiovascular and gastrointestinal diseases as well as promoting mother and child health.</li> </ul>
	<b>Output 1.6:</b> Multi-dimensional changes in communities' lives are assessed with particular attention on how improvement in one	<b>\$28,332</b>	<ul style="list-style-type: none"> <li>An impact assessment methodology based on the findings of the initial baseline is designed and implemented among programme beneficiaries mid-way through the programme and at the end of the programme.</li> </ul>



Intended Objectives	Expected Outputs	Budget per Output	Indicative Activities
	domain has had positive externalities in other insecurities.		<ul style="list-style-type: none"> <li>Frequent town hall style discussions to be held with various communities in order to regularly assess whether interventions area being conducted correctly and how they can be corrected to specifically target and improve the human security needs of populations.</li> <li>Results of the interim and final impact assessment are analyzed, published and widely disseminated.</li> </ul>
<b>Objective 2 –</b> To establish a well-coordinated financial mechanism for implementing and sustainable financing of human security initiatives as a way to promote and mainstream the human security approach in the region	<b>Output 2.1:</b> Framework for MPHSF developed in cooperation with Government and donor partners and approved by the Government	<b>\$38,500</b>	<ul style="list-style-type: none"> <li>In coordination with UN MPTF office develop a Terms of Reference for establishment of MPTF in Uzbekistan and conduct country assessment (institutional and legislative basis) for opportunities to establish MPHSF.</li> <li>Organize consultations/discussions to agree among line ministries, international partners and civil society on common vision for MPHSF;</li> <li>Draft Decree/legal document on establishment of MPHSF in Uzbekistan is prepared.</li> </ul>
	<b>Output 2.2:</b> Governance structure of MPHSF designed and functional	<b>\$46,700</b>	<ul style="list-style-type: none"> <li>Consultations with UN MPTF office on structure of MPHSF in Uzbekistan are launched and mission from UN MPTF to Uzbekistan is organized to provide necessary technical and advisory support;</li> <li>MPHSF Steering Committee and technical secretariat structure are agreed with the Government and necessary capacity building support provided including study tour to successful countries which established and run Multi-Donor Trust Fund as well as learn international experiences in integrated rural development.</li> </ul>
	<b>Output 2.3:</b> MPHSF is established and fully operational	<b>\$25,500</b>	<ul style="list-style-type: none"> <li>MoU between the Government of Uzbekistan and MPTF office is drafted and endorsed and Draft Standard Administrative Arrangements with donors finalized and agreed with partners;</li> <li>At least 2 MPHSF Steering Committee meetings conducted to launch pilot projects through MPHSF funding co-shared by the host Government and donor community.</li> </ul>
	<b>Output 2.4:</b> A training methodology and materials are developed in Uzbek on the human security approach and its applications	<b>\$41,900</b>	<ul style="list-style-type: none"> <li>Preparation of a training package/materials on the human security approach based on existing international literature and using case studies;</li> <li>Translation of these materials into Uzbek/Russian.</li> <li>Planning for a series of trainings for different audiences to be provided at different stages (preparation, design, implementation, evaluation, impact assessment etc.).</li> <li>Training provided for the staff of the UN on the human security approach and how it can be integrated into various UN projects, strategies, documents etc.</li> <li>Training provided for the staff of the programme at the beginning of the programme with refreshers and discussions held every six months.</li> <li># of Government officials are trained in application and mainstreaming human security approach in policy development, planning and implementation.</li> </ul>
	<b>Output 2.5:</b> The human security approach is integrated into policy making at the national level	<b>\$199,400</b>	<ul style="list-style-type: none"> <li>Development of a communication strategy to start a dialogue with the Government on the human security approach and its added value;</li> <li>Conducting a series of trainings and workshops for Government officials at the local, regional and national levels.</li> </ul>

Intended Objectives	Expected Outputs	Budget per Output	Indicative Activities
			<ul style="list-style-type: none"> <li>UN agency staff and leadership, in their interventions, make frequent references to the concept of human security and its added value as an analytical, programmatic and evaluative tool.</li> <li>Expertise is provided to the Government to help in the development of human security plans, strategies or legislation based on lessons learned.</li> <li>Establish cooperation with Government institutions and regional organization including AGPF and IFAS on coordinated efforts in promoting human security in the process of support to the region;</li> <li>Introducing the human security concept into journalists' training programs on sustainable development; number of journalists trained and number of media coverage.</li> <li>Operationalize the concept of human security and sustainable development in education system.</li> </ul>
	<b>Output 2.6:</b> The human security approach used to influence the analysis and programs of strategies and documents developed by the UN in Uzbekistan	<b>\$55,676</b>	<ul style="list-style-type: none"> <li>UN staff and leadership to receive regular training on human security, its concept and application to various functional and thematic responsibilities of the UN.</li> <li>In the development of the CCA and UNDAF, terminology and content from the Human Security approach to be used;</li> <li>The added value of the human security approach (people centered, inter-sectorial, preventive oriented, empowering-protection framework, etc.) will be raised by UN leadership as a tool for achieving sustainable development and in implementing the upcoming Sustainable Development Goals in their communications with partners, the Government, the press, etc.</li> <li>To consider preparing a National Human Development Report on human insecurities in Uzbekistan or a more limited study on multiple insecurities snowballing from an environment disaster.</li> </ul>
<b>Indirect Support Costs</b>		<b>\$130,841</b>	
<b>Joint Programme Management Costs</b>		<b>\$627,116</b>	
<b>Total Budget</b>		<b>\$4,154,000<sup>12</sup></b>	
<b>Financing</b>	UNTFHS: USD 2,000,000 UNDP :USD 647,000	UNFPA: USD 100,000 UNESCO: USD 81,000	UNV: USD 72,000 Adaptation Fund: USD 1,254,000

Source: Programme Document

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<sup>12</sup> The total of detailed budgets for all activities as presented in Annex III of the programme document add to USD 4,151,500; indicating a discrepancy of USD 2,500 with the total budget of USD 4,154,000

## Annex 2: MTE Terms of Reference

 <b>UNITED NATIONS DEVELOPMENT PROGRAMME TERMS OF REFERENCE / INDIVIDUAL CONTRACT</b>	
<b>ANNEX-1</b>	

<b>I. JOB INFORMATION</b>	
Position Title:	International Consultant/Evaluator (Mid-Term Evaluation)
Type:	Individual Contract (International)
Project Title/Department:	UN Joint Programme “Building the resilience of communities affected by the Aral Sea disaster through a Multi-Partner Human Security Trust Fund for the Aral Sea Region”/ Sustainable Development Cluster
Duration of the service:	20 working days (within the period of June-July 2018) including: <ul style="list-style-type: none"><li>• 5 w.d. desk work in country of residence (June 4-8, 2018)</li><li>• 5 w.d. Mission to Uzbekistan (3 w.d. in Tashkent, 2 w.d. in Nukus, excluding weekend days) (June 14-20, 2018)</li><li>• 10 w.d. Desk work in country of residence (July 2-13, 2018)</li></ul>
Work status (full time / part time):	Part-time
Duty station:	Home-based with one mission to Uzbekistan (Tashkent and Nukus, Republic of Karakalpakstan)
Reports to:	Head of Sustainable Development Cluster, UNDP Uzbekistan

<b>II. BACKGROUND</b>
<p>Human security is a dynamic and practical policy framework for addressing widespread and cross-cutting threats faced by governments and people. Human security calls for an assessment of human insecurities that is people-centred, comprehensive, context-specific and preventive. The application of human security derives much of its strength from dual policy framework based on mutually reinforcing pillars of protection and empowerment. Application of this framework offers comprehensive approach that combines top-down norms, processes and institutions with bottom-up focus in which participatory processes support the important role of people as actors in defining and implementation their essential freedom.</p> <p>The United Nations Trust Fund for Human Security (UNTFHS), launched by the Government of Japan and the United Nations Secretariat in March 1999, finances Joint Programmes carried out by organizations in the UN system, and when appropriate, in partnership with non-UN entities, to advance the operational impact of the human security concept. The UNTFHS places priority on promoting multi-sectoral and inter-agency integration based on the comparative advantage of the applying organizations and through their collaboration.</p> <p>Capitalizing on the successes and lessons learned from the <a href="#">previous UN Joint Programme on “Sustaining livelihoods affected by the Aral Sea disaster” (2012-2016)</a>, four UN Agencies in Uzbekistan (UNDP, UNESCO, UNFPA and UNV) in 2016 launched a new UN Joint Programme <a href="#">“Building the resilience of communities affected by the Aral Sea disaster through a Multi-Partner Human Security Trust Fund for the Aral Sea Region” covering the period of 2016-2019</a>. The Joint Programme is implemented through joint</p>

funding from the UNTFHS, participating UN agencies and Government of Uzbekistan within the framework of UNDAF 2016-2020 and Country Programme Document (CPD) 2016-2020. Financial portfolio of the project for the period of 2016-2019 is around \$3.6 mln. Ministry of Economy of the Republic of Uzbekistan is the national implementing partner.

The Programme aims to mitigate inter-connected risks to human security and building the resilience of communities affected by the Aral Sea Disaster through an integrated and multi-level approach as well as facilitating sustainable financial support through the establishment of a Multi-Partner Human Security Trust Fund (MPHSTF) for the Aral Sea. The main objectives of the programme are to:

- i) address human security needs of the population affected by the Aral Sea disaster at local and national levels, and
- ii) establish a well-coordinated financial mechanism for implementing and sustainable financing of human security initiatives to promote and mainstream the human security approach in the region through the creation of the MPHSTF for the Aral Sea Region.

The Joint Programme works to further integrate human security concept that proved to be effective in addressing human security challenges faced by individuals and communities affected by the Aral Sea disaster.

As the Programme approaches the midpoint of its implementation, mid-term evaluation is planned to be conducted, and UNDP is recruiting an international consultant to determine the progress being made toward the achievement of Programme outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; will present initial lessons learned about the project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the second half of the Programme's term.

In conducting mid-term review, international consultant will be supported by national evaluation consultant, hereinafter international consultant and national consultant jointly will be referred as evaluation team. National consultant will provide technical support in conducting desk review of documents, data collection, organization of meetings, including focus group discussions as needed, as well as providing support to international consultant in arranging follow-up discussions, if necessary, with key informants after field visits.

The key product expected from the mid-term evaluation is a comprehensive analytical report written in English. The mid-term evaluation report will be a stand-alone document that substantiates its recommendations and conclusions. The report will have to provide convincing evidence to support its findings/ratings.

### **III. OBJECTIVES AND SCOPE**

#### **OBJECTIVE OF THE MID-TERM EVALUATION**

This Mid-Term Evaluation (MTE) is initiated by the UNDP Uzbekistan as a leading agency of UN Joint Programme and aims to provide UN Country team and national partners with a strategy and policy options for more effective and efficient achievement, upscale and replication of the Programme results. Mid-Term Evaluation aims at assessing overall progress towards achieving the Programme objective and outcomes as set out in Programme Document and other related documents. It also provides the basis for learning and accountability for UN Joint Programme management and stakeholders.

The MTE to be done in line with the evaluation policy of UNDP (<http://web.undp.org/evaluation/policy.shtml>) and the UNDP Handbook on Monitoring and Evaluating for Results (<http://web.undp.org/evaluation/handbook/>). MTE is intended to critically assess programme design, progress towards the achievement of results with a particular emphasis on assessment of the programme activities and their consistency with programme's objectives and future plans, identify and document lessons to improve the design and implementation of programme activities and make recommendations for improvement.

Moreover, MTE will play a critical role in future implementation of the Joint Programme through guidance on: (i) strengthening the adaptive management and monitoring function of the Programme; (ii) ensuring contribution of participating UN agencies in the achievement of Programme objectives; (iii) enhancing organizational and development learning; (iv) enabling informed decision-making and (v) assessing the sustainability of programme interventions.

Objectives of the mid-term evaluation are the following:

- Review the Joint Programme's relevance to national priorities and provide recommendations for adjustment as needed;
- Review the progress towards achievement of Programme objective and outcomes as set out in Programme Document, results framework and other related documents;
- Assess potential contribution of the Joint Programme to the achievement of Outcome results with joint Government of Uzbekistan and UNDP programmatic frameworks of UNDAF 2016-2020 and CPD 2016-2020;
- Assess the degree to which the Joint Programme implementation processes at all levels (community level, policy support, etc.) are being carried out through participatory approach;
- Assess the degree to which the resources and funding for the above Programme directions being used effectively and efficiently;
- Assess the extent to which a knowledge base is being established to build the capacity of key stakeholders to address the relevant development problems;
- Assess sustainability of the Joint Programme interventions.
- Critically analyse Joint Programme implementation and management arrangements including inter-agency cooperation;
- List and document lessons concerning Joint Programme design, implementation and management.

In all above assessment points, **gender equality and women empowerment has to be reflected as a crosscutting issue.**

International consultants, with support of national consultant, is expected to work with key Joint Programme stakeholders, including UN Country Office in Uzbekistan, participating UN agencies, Ministry of Economy of the Republic of Uzbekistan, Council of Ministers of the Republic of Karakalpakstan, Ministry of Agriculture and Water Resources, Ministry of Health of the Republic of Karakalpakstan, NGOs and farmers and beneficiaries of the Joint Programme.

**SCOPE OF THE EVALUATION**

The MTR will cover a number of aspects of the project. These will include the following: relevance of the project, quality of project design, efficiency of implementation, effectiveness to date, partnership strategy, and potential sustainability of project interventions. It will look at the achievements of the project with respect to the relevance of its objectives and the attainability of its outputs. The MTR will consider the project design, including whether the assumptions and risks remain valid, noting external factors beyond the control of the project that have affected it negatively or positively to date. While it is not an impact evaluation, to the extent possible it should touch upon the long-term effects of this Programme and its potential contribution to UNDAF 2016-2020 and CPD 2016-2020 Output and Outcome level results, based on the information gathered from consultations with various stakeholders and beneficiaries, as well as from desk review of relevant documents and reports.

Special attention shall be paid to the Programme's contribution to gender equality and women empowerment. The report should evaluate **gender mainstreaming** in Programme design and implementation, challenges and achievements in promoting gender equality, recommendations for improvement as well as possible replication.

The MTR should review the project's *conceptual design and relevance*, and whether the outcomes, indicators, targets, risks and assumptions that were agreed upon are still relevant, with attention to:

- Whether the project responds to development priorities at the regional and national level; Whether the intervention is aligned with international instruments (e.g. CEDAW,), standards and principles on gender equality and contributes to their implementation; Whether the intervention is informed by substantive and tailored human rights and gender analyses that identify underlying causes and barriers to gender equality;
- Whether project's measures to address gender inequalities and empower women relevant and producing the intended effect;
- Whether the project's target groups are systematically engaged, with a priority focus on the excluded and marginalized, to ensure project remains relevant to them;

The MTR should review the *effectiveness* of the approach used to produce the project results:

- Whether the project is on track in contributing to the achievement of UNDAF 2016-2020 and CPD 2016-2020 outcome and output level results;
- What are the major factors influencing the achievement of results and how far these results are attributable to UNDP?
- Revisit the underlying factors beyond the Joint Programme's immediate control that influence outcomes and results and assess appropriateness and effectiveness of the Joint Programme's management strategies for these factors;
- What were the main challenges that joint programme faced so far in achieving the results and whether the joint programme came up with innovative solutions to address these challenges;
- Are social and environmental impacts and risks (including those related to human rights, gender and environment) being successfully managed and monitored in accordance with the Joint Programme document and relevant action plans?
- Revisit Joint Programme's Social and Environmental Screening and assess its validity, additional risks, and possible measures to address them;
- Whether Joint Programme M&E strategy enables measuring the progress towards achievement of results, including SMARTness of indicators, availability of baselines, targets, means of verification, metadata, etc.;
- To what extent gender equality is integrated into the Joint Programme results framework;
- Whether Joint Programme regularly collects six-disaggregated data;
- Whether the logical framework was useful management tool during project implementation and whether any changes were made to it;
- Whether implementation was regularly monitored by collection relevant information/data to track the progress towards achievement of targets;

The MTR should review the *efficiency* of project implementation, with attention to:

- Whether the project is efficient in planning, organizing, and controlling the delivery of Joint Programme interventions in a cost-effective manner;
- Whether adequate resources are being allocated for integrating gender equality in the Joint Programme interventions;
- Whether there is efficiency in the coordination and communication processes between stakeholders and partners of the project;
- Whether the Joint Programme design remains as the most effective option to respond to current development challenges and changes in the context? Is there any way for improving it;
- Whether the management structure of the project, the distribution of responsibilities, and coordination mechanisms remains appropriate for the achievement of project objectives;
- Whether any business practices and financing models contributed to increase the efficiency in delivering as one;
- Whether there is a sound partnership strategy and synergies with other similar projects; identify opportunities for stronger substantive partnerships for the remainder of the project duration;

- Whether the Joint Programme interventions were complementary to other development partners' interventions;

The MTR should review the potential *sustainability* - the extent to which, based on the project's sustainability strategy, the benefits of the project will continue after it has come to an end, including:

- Whether a sustainability strategy, including capacity development of key national stakeholders is being implemented;
- Whether the results that Joint Programme is achieving/contributing are sustainable?
- Whether the Joint Programme interventions are advancing institutional change to systematically address gender equality concerns;
- Whether the Joint Programme promoting ownership and creating capacities, including organizational arrangements for sustained results at all relevant levels;
- Whether the project is contributing to the availability of policy and regulatory framework that will support continuation of benefits;
- Whether the project has the potential to be replicated based on implementation progress so far, and whether any steps are being taken by the project to do so; whether there are specific good practices that can be replicated and what has made them successful;

#### **Findings and lessons learned:**

- Outline, as logically and objectively as possible, findings and conclusions, with an emphasis on findings related to the project's approach to incorporating gender issues;
- Highlight the major problems, shortcomings, and weaknesses in order of importance;

#### **Recommendations:**

- Present recommendations for corrective actions; recommendations should be objective, realistic, practical, understandable and forward looking;
- Link the recommendations logically to the findings;
- Recommend a realistic duration for implementation of remaining project activities;
- Suggest new project activities for the remaining part of project implementation as deemed necessary

Given that this is a Mid-Term Review, the emphasis will be on identifying lessons learnt, with a view to adjusting the project design and implementation accordingly. The MTR will therefore make recommendations for the way forward, based on progress thus far.

#### **IV. EVALUATION RATING AND CRITERIA:**

The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability, impact and gender mainstreaming**. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary.

<b>Evaluation Ratings:</b>			
<b>1. Assessment of intervention:</b>	<i>rating</i>	<b>2. Sustainability</b>	<i>rating</i>
Relevance		Capacity development of stakeholders	
Effectiveness		Financial resources	
Efficiency		Policy and regulatory frameworks	
Overall Programme Outcome rating		Overall likelihood of sustainability	
<b>3. Monitoring and Evaluation:</b>	<i>rating</i>	<b>4. Gender mainstreaming</b>	<i>rating</i>
M&E design at entry		GM strategy at entry	
M&E plan implementation		GM at implementation	
Overall quality of M&E		Overall quality of GM	

The evaluator is expected to use below rating scale in assessing the evaluation criteria:

<p><b>Ratings for Outcomes, Effectiveness, Efficiency, M&amp;E, and Gender Mainstreaming:</b></p> <p>6: Highly Satisfactory (HS): no shortcomings  5: Satisfactory (S): minor shortcomings  4: Moderately Satisfactory (MS): some shortcomings  3. Moderately Unsatisfactory (MU): significant shortcomings  2. Unsatisfactory (U): major problems  1. Highly Unsatisfactory (HU): severe problems</p>	<p><b>Sustainability ratings:</b></p> <p>4. Likely (L): negligible risks to sustainability  3. Moderately Likely (ML): moderate risks  2. Moderately Unlikely (MU): significant risks  1. Unlikely (U): severe risks</p>	<p><b>Relevance ratings</b></p> <p>2. Relevant (R)</p> <p>1. Not relevant (NR)</p> <p><b>Impact Ratings:</b></p> <p>3. Significant (S)  2. Minimal (M)  1. Negligible (N)</p>
<p><b>Additional ratings where relevant:</b></p> <p>Not Applicable (N/A)  Unable to Assess (U/A)</p>		
<p><b>V. EVALUATION METHODOLOGY:</b></p>		
<p>The Mid-Term Evaluation will be conducted by using methodologies and techniques suitable for the evaluation purpose, objective and evaluation questions as described in this TOR. The Evaluator, in consultation with UNDP and other stakeholders, will determine the specific design and methods for the exercise during the initial inception period and outline the detailed methodology in the inception report prepared. Inception report and Mid-Term Evaluation report should clearly outline, at minimum, information on the instruments used for data collection and analysis, whether these be documents, interviews, field visits, questionnaires or participatory techniques.</p> <p>The International Consultant/Evaluator as reference materials can use the following documents to be found via <a href="http://www.undp.org">www.undp.org</a> :</p> <ul style="list-style-type: none"> <li>• UNDP Handbook on Monitoring and Evaluation for Results</li> <li>• UNDP M&amp;E Resource Kit</li> <li>• UNDP Evaluation Policy</li> </ul>		
<p><b>DATA COLLECTION AND ANALYSIS:</b></p>		
<p>Data for the report will be collected through various means, including the following:</p>		
<p><b>Desk reviews:</b> The evaluator will collect and review all relevant documentation, including the following:</p> <ul style="list-style-type: none"> <li>○ Action Strategy of the Government of Uzbekistan for 2017-2021; Action-oriented Roadmap on Further Cooperation between Uzbekistan and the United Nations System for 2017-2020;</li> <li>○ UNDP Strategic Plans 2014-2017, 2018-2021; UNDAF 2016-2020, including joint workplans for 2016-2017 and 2018-2020; CPD 2016-2020 and Results Oriented Annual Reports for 2016-2017;</li> <li>○ Corporate and country level strategic documents of UNESCO, UNFPA and UNV;</li> <li>○ UN Joint Programme Project Document, Progress Reports, Annual Work Plans and Progress Reports, Joint Programme Quality Assurance reports, minutes of the Joint Programme Board meetings, and other materials from the previous interventions in the region;</li> <li>○ Final Evaluation for the first UN Joint Programme (2012-2016);</li> <li>○ Analytical and knowledge products prepared within the framework of UN JP;</li> </ul>		
<p><b>Discussions with the relevant programme and project staff of participating UN agencies:</b> The evaluation team will be working and consulting the evaluation exercise with relevant teams on continuous basis. Debriefing meeting with the heads of participating UN agencies will also be carried out to inform on the review and evaluation processes as well as share any preliminary observations as necessary.</p>		
<p><b>Stakeholder interviews and focus group discussions:</b> The evaluation team will conduct interviews with following organizations and individuals at a minimum:</p> <ul style="list-style-type: none"> <li>○ Relevant departments of the Ministry of Economy;</li> <li>○ Government agencies (Cabinet of Ministers of the Republic of Uzbekistan, Council of Ministers of the Republic of Karakalpakstan, Ministry of Health of the Republic of Uzbekistan, Ministry of Finance of the Republic of Uzbekistan, Ministry of Health of the Republic of Karakalpakstan);</li> <li>○ The International Fund for Saving the Aral Sea, Charity Fund for Aral Gene Pool Protection;</li> </ul>		



- Donor community representatives (Swiss Cooperation Agency, MASHAV, MSF, JICA);
- Local NGOs and Community-based Organizations in the target districts, including (representatives of district Makhalla Fund, Business Women's Association, representatives from target communities in pilot districts);

In all cases, International Consultant/Evaluator is expected to analyze all relevant information sources, such as annual reports, Joint Programme documents, mission reports, strategic country development documents and any other documents that may provide evidence on which to form judgements. International Consultant/Evaluator is also expected to use interviews, surveys or any other relevant quantitative and qualitative tools as means to collect data for the mid-term evaluation. The International Consultant/Evaluator will make sure that the voices, opinions, and information of targeted citizens and participants of the Joint Programme are taken into account.

The International Consultant/Evaluator must provide evidence-based information that is credible, reliable and useful. It must be easily understood by the Joint Programme partners and applicable to the remaining period of the Joint Programme.

## VI. RESPONSIBILITIES OF THE INTERNATIONAL CONSULTANT/EVALUATOR

The **International Consultant/Evaluator** will work under the guidance of the Head of the Sustainable Development Cluster. The International Consultant/Evaluator's main tasks will consist of the following duties and responsibilities:

- Lead and manage the process of mid-term evaluation jointly with national evaluation expert;
- Design the detailed Mid-Term Evaluation methodology and plan;
- Conduct desk-reviews, interviews and site-visits to obtain objective and verifiable data to substantive evaluation ratings and assessments on adequacy of the level and proposed modes of enforcement of the regulatory and programmatic documents developed within the Joint Programme for creation of an enabling environment for promoting human security in the region;
- Draft the Inception Report and share with UNDP for acceptance;
- Draft the Mid-Term Evaluation report and share with the key stakeholders for comments;
- Finalize the Mid-Term Evaluation report based on the inputs from key stakeholders.

The International Consultant/Evaluator will be supported by national consultant who will assist in reviewing the relevant documents, preparing an inception report, interviewing the stakeholders, drafting reports and briefing the stakeholders on the progress, key findings and recommendations. The International Consultant/Evaluator will receive support of UNDP Country Office in Uzbekistan and Joint Programme Team as needed.

In the process of the preparation for the Mid-Term Evaluation, the International Consultant/Evaluator will have to thoroughly study the **outcomes of the Final Evaluation for the first UN Joint Programme<sup>13</sup> (2012-2016)** that was conducted in December 2015-January 2016, and define to what degree the findings and recommendations were addressed in developing and implementing current UN Joint Programme. To elaborate on the international best-practices in the application of the Human Security approach, the International Consultant/Evaluator will also study the findings and recommendations of rapid **assessment conducted by UNIVERSALIA<sup>14</sup>** during January –May 2013, which has also covered the first UN Joint Programme. International Consultant/Evaluator will have to also study the report findings and evaluate, document and develop recommendations on further up scaling the human security approach in the context of the country. The International Consultant/Evaluator will be the author of the Mid-term Evaluation report.

<sup>13</sup> <https://erc.undp.org/evaluation/evaluations/detail/8081>

<sup>14</sup> <https://docs.unocha.org/sites/dms/HISU/FINAL%20-%20UNTFHS%20Rapid%20Assessment%20-%20Overview%20Report.pdf>

The International Consultant/Evaluator is expected to work intermittently during June-July 2018 period which include **one-week** mission to Uzbekistan (Tashkent and Nukus) and desk work prior and after the mission.

It is expected that the International Consultant/Evaluator will conduct field visits to selected Joint Programme sites. The Joint Programme team will provide full support and ensure necessary arrangements for smooth implementation of the field visits. Remuneration of the International Consultant/Evaluator will be determined based on qualifications and experience using UN rates for consultancy services.

#### **VII. EXPECTED OUTCOME:**

The International Consultant/Evaluator is expected to deliver the following deliverables in English to UNDP:

- **Inception Report** (to be submitted prior to the evaluation mission to Uzbekistan). The report should be based on the documentation review and analysis, as well as necessary discussion in relation to the evaluation with relevant staff of UNDP. The inception report will describe the conceptual framework the consultant to be used in undertaking the evaluation, and set out in details the evaluation methodology. The methodology and techniques to be used in the evaluation should be agreed with UNDP. In its turn UNDP will share and agree the draft inception report with the government and UN agencies. The report should also contain a work plan and a proposed table of content of the final report.
- **Draft Evaluation Report** upon the in-country mission for subsequent circulation to the key Joint Programme stakeholders for comments. The draft final report will contain the same sections as the final report with an executive summary of no more than 5 pages, that includes a brief description of the Joint Programme, its context and current situation, the purpose of the evaluation, its methodology and its major findings, conclusions and recommendations. The draft report will be shared with the UN agencies and national partners to seek their comments and suggestions. Proposed content of the report is presented in Annex-1 to this TOR.
- **Final Evaluation Report** The final report will be 40-50 pages in length and will take into account the outcomes of the discussions and comments made by UNDP, participating UN agencies and national partners. The final report will be sent to the UN agencies and national partners.

#### **VII. KEY ROLES AND RESPONSIBILITIES**

Main actors involved in the implementation of the evaluation include UNDP, Joint Programme Team, key stakeholders with following responsibilities:

**UNDP as a leading UN agency of the Joint Programme and commissioner of the Mid-Term Evaluation will have the following functions:**

- Lead the Mid-Term Evaluation process throughout the evaluation (design, implementation and dissemination);
- Convene the Mid-Term Evaluation reference group;
- Lead the finalization of the Mid-Term Evaluation ToR;
- Coordinate the selection and recruitment of the International Consultant/Evaluator and make contractual arrangements to hire the International Consultant/Evaluator;
- Ensure the Mid-Term Evaluation products meet quality standards;
- Provide clear specific advice and support to the evaluation team throughout the whole evaluation process;
- Take responsibility for dissemination;
- Ensure that adequate funding and human resources are allocated for the Mid-Term Evaluation within the Joint Programme budgets.

**The Joint Programme Team will have the following functions:**

- Provide the evaluation team with administrative and logistical support, including for the field mission, and required data;
- Connect the evaluation team with key evaluation stakeholders, and ensure a full inclusive and transparent approach to the Mid-Term Evaluation;

**The Joint Programme stakeholders and partners will serve as the Mid-Term Evaluation reference group. The reference group will have the following functions:**

- Review the draft Mid-Term Evaluation report and ensure final draft meets all agreed objectives and requirements;
- Facilitate the evaluation team's access to all information and documentation relevant to the intervention, as well as to key actors and partners who should participate in interviews, focus groups or other information-gathering methods;
- Oversee progress and conduct of the Mid-Term Evaluation the quality of the process and the product;
- Contribute to dissemination of the results of the Mid-Term Evaluation.

#### VIII. EVALUATION ETHICS

All evaluations in UNDP will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation' (<http://www.unevaluation.org/ethicalguidelines>). These guidelines apply to International Consultant/Evaluator undertaking the Mid-Term Evaluation described in this TOR.

#### IX. DELIVERABLES AND TIMEFRAME

The following schedule of deliverables is expected under the current assignment. The final schedule will be agreed in the beginning of the assignment. All deliverables should be submitted to UNDP CO in electronic form by the International Consultant/Evaluator in English.

Outputs/Deliverables	Due date	Instalments
<b>1. Inception Report</b> , the report should be based on the documentation review and analysis, as well as necessary discussion in relation to the mid-term evaluation with relevant staff of UNDP (email, skype). The inception report will describe the conceptual framework to be used in undertaking the mid-term evaluation, and set out in details the mid-term evaluation methodology. The methodology and techniques to be used in the mid-term evaluation should be agreed upon with UNDP, who will share the draft inception report with the government and UN agencies. The report should also contain a work plan and a proposed table of content of the final report (weight of output 1: 20%)	June 11, 2018	<b>1<sup>st</sup> installment (40%)</b>
<b>2. Draft Mid-Term Evaluation Report</b> , upon the in-country mission for subsequent circulation to the key Joint Programme stakeholders for comments. The draft report will contain the same sections as the final report with an executive summary of no more than 5 pages, that includes a brief description of the Joint Programme, its context and current situation, the purpose of the mid-term evaluation, its methodology and its major findings, conclusions and recommendations. The draft report will be shared with the UN agencies and national partners to seek their comments and suggestions (weight of output 2: 20%)	June 27, 2018	
<b>3. Final Mid-Term Evaluation Report</b> , the final report will be 50 pages in length and will take into account the outcomes of the discussions from the workshop and comments made by UNDP, participating UN agencies and national partners. The final report will	July 16, 2018	<b>2<sup>nd</sup> installment (60%)</b>

be sent to the UN agencies and national partners (weight of output 3: 60%)																											
<p>Payment will be made in lump sum in two installments upon completion of the tasks/works indicated in the TOR outputs/deliverables and their acceptance by the Head of Sustainable Development Cluster, UNDP Uzbekistan:</p> <p><b>1<sup>st</sup> instalment (Output 1 and 2): 40 % of total payment</b></p> <p><b>2<sup>nd</sup> installment (Output 3): 60% of total payment</b></p> <p>Total duration of the assignment will be 20 working days. The Mid-Term Evaluation mission to Uzbekistan will take place in May 2018. The following tentative timetable is recommended for the Mid-Term Evaluation; however, the final schedule will be agreed upon at the beginning of the consultancy assignment.</p> <table border="1"> <thead> <tr> <th>#</th><th>Activities</th><th>Tentative timeframe</th><th>Working days</th></tr> </thead> <tbody> <tr> <td>1</td><td>Desk review, development of methodology and inception report (home base)</td><td>2<sup>nd</sup> week of June 2018</td><td>5 days</td></tr> <tr> <td>2</td><td>Mission to Uzbekistan, including briefings/debriefings, meetings with UNDP, UN participating agencies, in-country field visits, interviews: Tashkent – 3 days; Nukus – 2 days</td><td>3<sup>rd</sup> and 4<sup>th</sup> week of June 2018</td><td>5 days</td></tr> <tr> <td>3</td><td>Drafting of the Mid-Term Evaluation report</td><td>1<sup>st</sup> and 2<sup>nd</sup> weeks of July 2018</td><td>6 days</td></tr> <tr> <td>4</td><td>Finalization of the Mid-Term Evaluation report (incorporating comments received on first draft) (home base)</td><td>3<sup>rd</sup> week of July 2018</td><td>4 days</td></tr> <tr> <td></td><td><b>Total days</b></td><td></td><td><b>20 days</b></td></tr> </tbody> </table> <p>Prior to approval of the final report, a draft version shall be circulated for comments to UNDP CO, UN participating agencies, government counterparts and Joint Programme management. All comments and suggestions (if any) shall be addressed and the report will be considered as the final deliverable as soon it is accepted by UNDP. The final version of the Mid-Term Evaluation report should be submitted in electronic format (MS Word) to UNDP Country Office in Uzbekistan (Mr. Hurshid Rustamov, address: Uzbekistan, 100015, Tashkent, Mirabad str., 41/3, tel. +998 71 1203450; fax +998 71 1203485, e-mail: hurshid.rustamov@undp.org) no later than May 31<sup>st</sup>, 2018.</p>				#	Activities	Tentative timeframe	Working days	1	Desk review, development of methodology and inception report (home base)	2 <sup>nd</sup> week of June 2018	5 days	2	Mission to Uzbekistan, including briefings/debriefings, meetings with UNDP, UN participating agencies, in-country field visits, interviews: Tashkent – 3 days; Nukus – 2 days	3 <sup>rd</sup> and 4 <sup>th</sup> week of June 2018	5 days	3	Drafting of the Mid-Term Evaluation report	1 <sup>st</sup> and 2 <sup>nd</sup> weeks of July 2018	6 days	4	Finalization of the Mid-Term Evaluation report (incorporating comments received on first draft) (home base)	3 <sup>rd</sup> week of July 2018	4 days		<b>Total days</b>		<b>20 days</b>
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<b>X. Payment Conditions</b>																											
<p>Payments are based upon outputs, i.e. upon delivery of the services specified in the TOR and acceptance by Hiring Manager. Payment will be released in 2 instalments as described in the <b>Part IX</b> of the TOR.</p> <p>Note: This is a lump sum contract that should include costs of consultancy and other related costs including the travels, DSAs, if any, required to produce the above deliverables.</p>																											
<b>XI. Qualification Requirements</b>																											
Education:	Advanced university degree in economics, public/business administration, development studies or any other social science related field;																										
Experience:	<ul style="list-style-type: none"> <li>- General practical experience of at least 4 years in any of the following areas: sustainable livelihood, area based development program, rural development and human security approach;</li> <li>- At least 5 years of specific experience with evaluation methodologies, results-based monitoring; experience within UN system. Previous experience in professional consultancy, conducting evaluations of Joint Programmes in the area of socio-economic development;</li> <li>- Work experience in the countries of the RBEC region, specifically in the Central Asian region <i>specifically in Uzbekistan</i>;</li> <li>- Knowledge of the country context.</li> </ul>																										

	- Knowledge of gender analysis and mainstreaming is an asset;
Language Requirement:	Excellent English communication and writing skills, knowledge of Russian would be an asset
Others:	<ul style="list-style-type: none"> <li>- Excellent writing and analytical skills</li> <li>- Strong communication skills, client-orientation, ability to work in a team;</li> <li>- Initiative, analytical judgment, ability to work under pressure, ethics and honesty;</li> <li>- Advanced ability to use IT equipment and software.</li> </ul>
UNDP is an equal opportunity employer. Qualified female candidates, people with disabilities, and minorities are highly encouraged to apply. UNDP Gender Balance in Management Policy promotes achievement of gender balance among its staff at all levels.	
<b>XII. Signatures - Post Description Certification</b>	
<b>Incumbent (if applicable)</b>	
Name	Signature Date
<b>UNDP Head of the Sustainable Development Cluster</b>	
<b>Mr. Hurshid Rustamov</b>	Signature Date
<b>Prepared by:</b>	
<b>Elvira Izamova</b>	Signature Date
<b>SDC Programme Associate,</b>	
<b>UNDP Uzbekistan</b>	
<b>Cleared by:</b>	
<b>Dilfuza Nabieva</b>	Signature Date
<b>CO M&amp;E focal point,</b>	
<b>UNDP Uzbekistan</b>	

**Proposed structure of the mid-term evaluation report:****I. Executive summary (5 pages long a stand-alone section)**

- Brief description of the Joint Programme
- Context and purpose of the evaluation, including audience for the evaluation and intended use;
- Key aspects of evaluation approach and methods;
- Summarized principle findings, conclusions and recommendations

**II. Introduction**

- Joint Programme background and rationale for conducting this evaluation;
- Context and purpose of the evaluation, and key questions to be addressed;
- Primary audience of the evaluation and intended use of evaluation results;
- Structure and content of the report;

**III. Description of the Joint Programme and its development context**

- Joint Programme objectives, intended development change, and target groups;
- Results framework, implementation strategies and key assumptions;
- Linkages with national priorities, UNDAF/CPD priorities, corporate strategies;
- Key partners involved in the implementation and their role;
- Scale of intervention, including size of the target population to be reached through different components of the Joint Programme;
- Total resources, including human resources and budgets;
- Social, political, economic and institutional factors, and the geographical landscape within which the Joint Programme operates and effects (challenges and opportunities) those factors present for its implementation and outcomes;
- Description of design weaknesses (e.g. intervention logic) or other implementation constraints (e.g. resource limitations);

**IV. Evaluation scope and objectives**

- Evaluation scope – parameters of the evaluation, including time period, segments of the target population, geographic area, Joint Programme components, outputs or outcomes that were and were not assessed;
- Evaluation objectives – spell out the types of decisions evaluations users will make, issues they will need to consider in making those decisions, and what the evaluation will need to achieve to contribute to those decisions;
- Evaluation criteria – explain evaluation criteria and performance standards;
- Evaluation questions – main evaluation questions addressed by the evaluation and explanation of how these questions address the information needs of users;

**V. Evaluation approach, methods and data analysis**

- Data sources;
- Sample and sampling frame;
- Data collection procedures and instruments;
- Performance standards;
- Stakeholder engagement;
- Ethical considerations;
- Background information on evaluators;
- Major limitations of the methodology and data analysis;

**VI. Findings – statement of facts based on analysis of the data in following structure:**

- Conceptual design and relevance;

- Effectiveness;
- Efficiency;
- Sustainability;

**VII. Conclusions** – comprehensive and balanced, and highlight the strengths, weaknesses and outcomes of the Joint Programme. Conclusions should be logically connected to the findings and follow the same flow:

- Conceptual design and relevance;
- Effectiveness;
- Efficiency;
- Sustainability;

#### **VIII. Recommendations**

- Practical, feasible recommendations directed to the intended users of the report about what actions to take or decisions to make. The recommendations should be specifically supported by evidence and linked to the findings and conclusions around key questions addressed by the evaluation.

#### **IX. Lessons learnt**

- List of lessons learnt – new knowledge gained from Joint Programme implementation that are applicable in similar context. Lessons should be concise and based on specific evidence presented in the report.

#### **X. Annexes**

- Evaluation TOR
- Methodology related documentation – evaluation matrix and data collection instruments (questionnaires, interview guides, observation protocols, etc.)
- List of individuals and groups interviewed or consulted;
- Summary reports of field visits;
- Joint Programme results and resources framework;
- Summary table displaying progress towards outputs, targets, and goals relative to established indicators;
- List of relevant documents reviewed
- Short biographies of evaluators
- Code of conduct signed by evaluators

### Annex 3: Code of Conduct for Evaluators and Agreement Form

#### ***Evaluators / Consultants:***

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

#### **Mid-Term Evaluation Consultant Agreement Form**

Agreement to abide by the Code of Conduct for Evaluation in the UN System

***We confirm that we have received and understood and will abide by the United Nations Code of Conduct for Evaluation.***

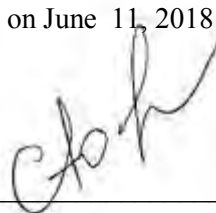
Signed in Ottawa on June 9, 2018



Signature: \_\_\_\_\_

Name of Consultant: **Jean-Joseph Bellamy**

Signed in Tashkent on June 11, 2018



Signature: \_\_\_\_\_

Name of Consultant: **Saida Yusupova**



## Annex 4: Evaluation Matrix

The evaluation matrix below served as a general guide for the review. It provided directions for the evaluation; particularly for the collection of relevant data. It was used as a basis for interviewing people and reviewing project documents. It also provided a basis for structuring the review report as a whole.

Sub-Questions	Research Questions	Indicators	Sources	Data Collection Method
<b>Evaluation criteria: Relevance - How does the programme relate to the development priorities of Uzbekistan and of the Republic of Karakalpakstan and how is it aligned with international instruments?</b>				
<i>Is the Programme relevant to national and regional priorities?</i>	<ul style="list-style-type: none"> <li>Does the programme respond to government's stated priorities at national and regional levels?</li> <li>How does the programme support the human security needs of populations affected by the Aral Sea disaster?</li> <li>Does the programme address the identified problem?</li> <li>How country-driven is the programme?</li> <li>Does the programme adequately take into account national realities, both in terms of institutional framework and programming, in its design and its implementation?</li> <li>To what extent were national and regional partners involved in the design of the programme?</li> </ul>	<ul style="list-style-type: none"> <li>Degree to which the programme support the human security needs of populations affected by the Aral Sea disaster</li> <li>Degree of coherence between the programme and national/regional priorities, policies and strategies; particularly related to the human security needs</li> <li>Appreciation from national stakeholders with respect to adequacy of programme design and implementation to national and regional realities and existing capacities?</li> <li>Level of involvement of government officials and other partners into the programme</li> </ul>	<ul style="list-style-type: none"> <li>Programme documents</li> <li>National and regional policies and strategies</li> <li>Government web sites</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with government officials and other partners</li> </ul>
<i>How is the Programme aligned with international instruments?</i>	<ul style="list-style-type: none"> <li>How is the programme aligned with international instruments such as CEDAW, standards and principal related to human security and gender equality?</li> <li>How is the programme aligned with objectives of UN Agencies in the area of human security?</li> </ul>	<ul style="list-style-type: none"> <li>Level of coherence between programme objectives and international instruments</li> <li>Level of coherence between programme objectives and those of the UN Agencies</li> </ul>	<ul style="list-style-type: none"> <li>Programme documents</li> <li>Inter. instruments websites</li> <li>International standards and principles related to human security and gender equality</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Website reviews</li> <li>Interviews with government officials and other partners</li> </ul>
<i>Does the Programme address the needs of targeted beneficiaries?</i>	<ul style="list-style-type: none"> <li>How does the programme support the needs of target beneficiaries?</li> <li>Is the implementation of the programme been inclusive of all relevant Stakeholders, including excluded and marginalized groups?</li> <li>Were/Are local beneficiaries and stakeholders adequately involved in programme formulation and implementation?</li> <li>Is the programme informed by substantive and tailored human rights and gender analyses that identify underlying causes and barriers to gender equality?</li> <li>Do programme's measures to address gender inequalities and empower women relevant and producing the intended effect?</li> </ul>	<ul style="list-style-type: none"> <li>Strength of the link between programme expected results and the needs of target beneficiaries</li> <li>Degree of involvement and inclusiveness of beneficiaries and stakeholders in programme design and implementation</li> <li>Gender equality approach developed/used by the programme</li> </ul>	<ul style="list-style-type: none"> <li>Beneficiaries and stakeholders</li> <li>Needs assessment studies</li> <li>Programme documents</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews with beneficiaries and stakeholders</li> </ul>
<i>Is the Programme internally</i>	<ul style="list-style-type: none"> <li>Was the programme sourced through a demand-driven approach?</li> <li>Is there a direct and strong link between programme expected results (Result Framework) and the programme design (in terms</li> </ul>	<ul style="list-style-type: none"> <li>Level of coherence between programme expected results and internal programme design logic</li> </ul>	<ul style="list-style-type: none"> <li>Program documents</li> <li>Key programme stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Key Interviews</li> </ul>

Sub-Questions	Research Questions	Indicators	Sources	Data Collection Method
<i>coherent in its design?</i>	<ul style="list-style-type: none"> <li>of programme components, choice of partners, structure, delivery mechanism, scope, budget, use of resources etc.)?</li> <li>Is the length of the programme conducive to achieve programme outcomes?</li> <li>To what extent gender equality is integrated into the Joint Programme results framework?</li> </ul>	<ul style="list-style-type: none"> <li>Level of coherence between programme design and programme implementation approach</li> </ul>		
<i>How is the Programme relevant in light of other donors?</i>	<ul style="list-style-type: none"> <li>With regards to Uzbekistan, does the programme remain relevant in terms of areas of focus and targeting of key activities?</li> <li>How does this programme help to fill gaps (or give additional stimulus) that are crucial but are not covered by other donors?</li> </ul>	<ul style="list-style-type: none"> <li>Degree to which the programme was coherent and complementary to other donor programming in Uzbekistan</li> <li>List of programs and funds in which future developments, ideas and partnerships of the programme are eligible?</li> </ul>	<ul style="list-style-type: none"> <li>Other Donors' policies and programming documents</li> <li>Other Donor representatives</li> <li>Programme documents</li> </ul>	<ul style="list-style-type: none"> <li>Documents analyses</li> <li>Interviews with other Donors</li> </ul>
<b>Future directions for similar Programmes</b>	<ul style="list-style-type: none"> <li>What lessons have been learnt and what changes could have been made to the programme in order to strengthen the alignment between the programme and the Partners' priorities and areas of focus?</li> <li>How could the programme better target and address priorities and development challenges of targeted beneficiaries?</li> </ul>		<ul style="list-style-type: none"> <li>Data collected throughout evaluation</li> </ul>	<ul style="list-style-type: none"> <li>Data analysis</li> </ul>
<b>Evaluation criteria: Effectiveness – To what extent have the expected objectives and outputs of the programme been achieved?</b>				
<i>How is the Programme effective in achieving its expected objectives?</i>	<ul style="list-style-type: none"> <li>How has the programme been effective in achieving its expected objectives? <ul style="list-style-type: none"> <li>To address the human security needs of populations affected by the Aral Sea disaster at the local and national levels</li> <li>To establish a well-coordinated financial mechanism for implementing and sustainable financing of human security initiatives as a way to promote and mainstream the human security approach in the region</li> </ul> </li> <li>How is the programme being effective in achieving its expected outputs?</li> </ul>	<ul style="list-style-type: none"> <li>New methodologies, skills and knowledge</li> <li>Change in capacity for information management: knowledge acquisition and sharing; effective data gathering, methods and procedures for reporting.</li> <li>Change in capacity for awareness raising <ul style="list-style-type: none"> <li>Stakeholder involvement and government awareness</li> <li>Change in local stakeholder behavior</li> </ul> </li> <li>Change in capacity in policy making and planning to improve human security: <ul style="list-style-type: none"> <li>Policy reform</li> <li>Legislation/regulation change</li> <li>Development of national and local strategies and plans</li> </ul> </li> <li>Change in capacity in implementation and enforcement <ul style="list-style-type: none"> <li>Design and implementation of risk assessments</li> <li>Implementation of national and local strategies and action plans through adequate institutional frameworks and their maintenance</li> <li>Monitoring, evaluation and promotion of pilots</li> </ul> </li> <li>Change in capacity in mobilizing resources <ul style="list-style-type: none"> <li>Leverage of resources</li> <li>Human resources</li> <li>Appropriate practices</li> <li>Mobilization of advisory services</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Programme documents</li> <li>Key stakeholders including UN Agencies, Programme Team, Representatives of Gov. and other Partners</li> <li>Research findings</li> </ul>	<ul style="list-style-type: none"> <li>Documents analysis</li> <li>Meetings with main Programme Partners</li> <li>Interviews with programme beneficiaries</li> </ul>

Sub-Questions	Research Questions	Indicators	Sources	Data Collection Method
<i>How is risk and risk mitigation being managed?</i>	<ul style="list-style-type: none"> <li>Are social and environmental impacts and risks (including those related to human rights, gender and environment) being successfully managed and monitored in accordance with the Joint Programme document and relevant action plans?</li> <li>What is the quality of risk mitigation strategies developed? Are they sufficient?</li> <li>Are there clear strategies for risk mitigation related with long-term sustainability of the programme?</li> <li>Is the Joint Programme's Social and Environmental Screening still valid, are there any additional risks?</li> </ul>	<ul style="list-style-type: none"> <li>Completeness of risk identification and assumptions during programme planning</li> <li>Quality of existing information systems in place to identify emerging risks and other issues?</li> <li>Quality of risk mitigations strategies developed and followed</li> </ul>	<ul style="list-style-type: none"> <li>Atlas risk log</li> <li>Programme documents and evaluations</li> <li>UNDP, Programme Staff and Programme Partners</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<b>Future directions for similar Programmes</b>	<ul style="list-style-type: none"> <li>What lessons have been learnt for the programme to achieve its objectives?</li> <li>What changes could have been made (if any) to the formulation of the programme in order to improve the achievement of programme's expected results?</li> <li>How could the programme be more effective in achieving its results?</li> </ul>		<ul style="list-style-type: none"> <li>Data collected throughout the evaluation</li> </ul>	<ul style="list-style-type: none"> <li>Data analysis</li> </ul>
<b>Evaluation criteria: Efficiency – Has the programme been implemented efficiently, cost-effectively and in-line with international and national norms and standards?</b>				
<i>Is programme support channeled in an efficient way?</i>	<ul style="list-style-type: none"> <li>Is adaptive management used or needed to ensure efficient resource use?</li> <li>Do the programme Results Framework and work plans and any changes made to them used as management tools during implementation?</li> <li>Are the accounting and financial systems in place adequate for programme management and producing accurate and timely financial information?</li> <li>How adequate is the M&amp;E framework (indicators &amp; targets)?</li> <li>Are programme reports produced accurately, timely and responded to reporting requirements including adaptive management changes?</li> <li>Is programme implementation as cost effective as originally proposed (planned vs. actual)</li> <li>Is the leveraging of funds (co-financing) happened as planned?</li> <li>Are financial resources utilized efficiently? Could financial resources have been used more efficiently?</li> <li>How is RBM used during programme implementation?</li> <li>Is the programme decision-making effective?</li> <li>Does the government provide continuous strategic directions to the programme's formulation and implementation?</li> </ul>	<ul style="list-style-type: none"> <li>Availability and quality of financial and progress reports</li> <li>Timeliness and adequacy of reporting provided</li> <li>Level of discrepancy between planned and utilized financial expenditures</li> <li>Planned vs. actual funds leveraged</li> <li>Cost in view of results achieved compared to costs of similar programmes from other organizations</li> <li>Adequacy of programme choices in view of existing context, infrastructure and cost</li> <li>Quality of RBM reporting (progress reporting, monitoring and evaluation)</li> <li>Occurrence of change in programme formulation/ implementation approach (i.e. restructuring) when needed to improve programme efficiency</li> <li>Existence, quality and use of M&amp;E, feedback and dissemination mechanism to share findings, lessons learned and recommendation on effectiveness of programme design.</li> <li>Cost associated with delivery mechanism and management structure compare to alternatives</li> <li>Gender disaggregated data in programme documents</li> </ul>	<ul style="list-style-type: none"> <li>Programme documents and evaluations</li> <li>UN agencies staff, Representatives of Gov. and Programme Staff</li> <li>Beneficiaries and Programme Partners</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Key Interviews</li> </ul>

Sub-Questions	Research Questions	Indicators	Sources	Data Collection Method
	<ul style="list-style-type: none"> <li>Have these directions provided by the government guided the activities and outcomes of the programme?</li> <li>Are there an institutionalized or informal feedback or dissemination mechanisms to ensure that findings, lessons learned and recommendations pertaining to programme formulation and implementation effectiveness were shared among programme stakeholders, UN agencies staff and other relevant organizations for ongoing programme adjustment and improvement?</li> <li>Does the programme mainstream gender considerations into its implementation?</li> </ul>			
<i>How efficient are partnership arrangements for the programme?</i>	<ul style="list-style-type: none"> <li>Is the government engaged?</li> <li>How does the government demonstrate its ownership of the programme?</li> <li>Did the government provide a counterpart to the programme?</li> <li>To what extent partnerships/linkages between institutions/ organizations are encouraged and supported?</li> <li>Which partnerships/linkages are facilitated? Which one can be considered sustainable?</li> <li>What is the level of efficiency of cooperation and collaboration arrangements? (between local actors, UN agencies and relevant government entities)</li> <li>Which methods were successful or not and why?</li> </ul>	<ul style="list-style-type: none"> <li>Specific activities conducted to support the development of cooperative arrangements between partners,</li> <li>Examples of supported partnerships</li> <li>Evidence that particular partnerships/linkages will be sustained</li> <li>Types/quality of partnership cooperation methods utilized</li> </ul>	<ul style="list-style-type: none"> <li>Programme documents and evaluations</li> <li>Programme Partners</li> <li>UN agencies staff, Representatives of Gov. and Programme Staff</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<i>Does the programme efficiently utilize local capacity in implementation?</i>	<ul style="list-style-type: none"> <li>Was an appropriate balance struck between utilization of international expertise as well as local capacity?</li> <li>Does the programme support mutual benefits through sharing of knowledge and experiences, training, technology transfer among developing countries?</li> <li>Did the programme take into account local capacity in formulation and implementation of the programme?</li> <li>Was there an effective collaboration with scientific institutions with competence in human security?</li> </ul>	<ul style="list-style-type: none"> <li>Proportion of total expertise utilized taken from Uzbekistan</li> <li>Number/quality of analyses done to assess local capacity potential and absorptive capacity</li> </ul>	<ul style="list-style-type: none"> <li>Programme documents and evaluations</li> <li>UN agencies staff, Programme Team and Programme partners</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<b>Future directions for similar Programmes</b>	<ul style="list-style-type: none"> <li>What lessons can be learnt from the programme on efficiency?</li> <li>How could the programme have more efficiently addressed its key priorities (in terms of management structures and procedures, partnerships arrangements etc....)?</li> <li>What changes could have been made (if any) to the programme in order to improve its efficiency?</li> </ul>		<ul style="list-style-type: none"> <li>Data collected throughout the evaluation</li> </ul>	<ul style="list-style-type: none"> <li>Data analysis</li> </ul>
<b>Evaluation criteria: Sustainability - To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term programme results?</b>				

Sub-Questions	Research Questions	Indicators	Sources	Data Collection Method
<i>How are sustainability issues integrated in programme design?</i>	<ul style="list-style-type: none"> <li>Were sustainability issues integrated into the formulation and implementation of the programme?</li> <li>Does the programme employ government implementing and/or monitoring systems?</li> <li>Is the government involved in the sustainability strategy for programme outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence/Quality of sustainability strategy</li> <li>Evidence/Quality of steps taken to address sustainability</li> </ul>	<ul style="list-style-type: none"> <li>Programme documents and evaluations</li> <li>UN agencies staff, programme staff and Programme Partners</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<i>Does the programme adequately address financial and economic sustainability issues?</i>	<ul style="list-style-type: none"> <li>Did the programme adequately address financial and economic sustainability issues?</li> <li>Are the recurrent costs after programme completion sustainable?</li> </ul>	<ul style="list-style-type: none"> <li>Level and source of future financial support to be provided to relevant sectors and activities after programme end?</li> <li>Evidence of commitments from international partners, governments or other stakeholders to financially support relevant sectors of activities after programme end</li> <li>Level of recurrent costs after completion of programme and funding sources for those recurrent costs</li> </ul>	<ul style="list-style-type: none"> <li>Programme documents and evaluations</li> <li>UN agencies staff, programme staff and Programme Partners</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<i>Are there organizational arrangements and continuation of activities issues?</i>	<ul style="list-style-type: none"> <li>Are results of efforts made during the programme implementation period well assimilated by organizations and their internal systems and procedures?</li> <li>Is there evidence that programme partners will continue their activities beyond programme support?</li> <li>Has there been a buy-in process, or was there no need to sell the programme and buy support?</li> <li>What degree is there of local ownership of initiatives and results?</li> <li>Are appropriate ‘champions’ being identified and/or supported?</li> <li>Is the capacity in place at national, and local level adequate to ensure sustainability of results achieved to date?</li> </ul>	<ul style="list-style-type: none"> <li>Degree to which programme activities and results have been taken over by local counterparts or institutions/organizations</li> <li>Level of financial support to be provided to relevant sectors and activities by in-country actors after programme end</li> <li>Number/quality of champions identified</li> <li>Elements in place in those different management functions, at appropriate levels (national and local) in terms of adequate structures, strategies, systems, skills, incentives and interrelationships with other key actors</li> </ul>	<ul style="list-style-type: none"> <li>Programme documents and evaluations</li> <li>UN agencies staff, programme staff and Programme Partners</li> <li>Beneficiaries</li> <li>Capacity assessments available, if any</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<i>Is there an adequate enabling environment for sustaining programme achievements?</i>	<ul style="list-style-type: none"> <li>Are laws, policies and frameworks addressed through the programme, in order to address sustainability of key initiatives and reforms?</li> <li>Are the necessary related capacities for lawmaking and enforcement built?</li> <li>What is the level of political commitment to build on the results of the programme?</li> </ul>	<ul style="list-style-type: none"> <li>Efforts to support the development of relevant laws and policies</li> <li>State of enforcement and law making capacity</li> <li>Evidence of commitment by the political class through speeches, enactment of laws and resource allocation to priorities</li> </ul>	<ul style="list-style-type: none"> <li>Programme documents and evaluations</li> <li>UN agencies staff, programme staff and Programme Partners</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<i>Are there any social and political sustainability issues?</i>	<ul style="list-style-type: none"> <li>Did the programme contribute to key building blocks for social and political sustainability?</li> <li>Did the programme contribute to local Stakeholders’ acceptance of the new practices?</li> </ul>	<ul style="list-style-type: none"> <li>Example of contributions to sustainable political and social change with regard to human security</li> </ul>	<ul style="list-style-type: none"> <li>Programme documents and evaluations</li> <li>UN agencies staff, programme staff and Programme Partners</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> <li>Documentation review</li> </ul>

Sub-Questions	Research Questions	Indicators	Sources	Data Collection Method
<i>Will programme achievements be replicable?</i>	<ul style="list-style-type: none"> <li>Were programme activities and results replicated elsewhere and/or scaled up?</li> <li>What was the programme contribution to replication or scaling up of innovative practices or mechanisms to improve human security?</li> <li>Does the programme has a catalytic role?</li> </ul>	<ul style="list-style-type: none"> <li>Number/quality of replicated initiatives</li> <li>Number/quality of replicated innovative initiatives</li> <li>Volume of additional investment leveraged</li> </ul>	<ul style="list-style-type: none"> <li>Other donor programming documents</li> <li>Beneficiaries</li> <li>UN agencies staff, programme staff and Programme Partners</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<i>Are there any challenges to sustainability of the programme</i>	<ul style="list-style-type: none"> <li>What are the main challenges that may hinder sustainability of efforts?</li> <li>Have any of these been addressed through programme management?</li> <li>What could be the possible measures to further contribute to the sustainability of efforts achieved with the programme?</li> </ul>	<ul style="list-style-type: none"> <li>Challenges in view of building blocks of sustainability as presented above</li> <li>Recent changes which may present new challenges to the programme</li> </ul>	<ul style="list-style-type: none"> <li>Programme documents and evaluations</li> <li>Beneficiaries</li> <li>UN agencies staff, programme staff and Programme Partners</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> <li>Interviews</li> </ul>
<b>Future directions for the Programmes</b>	<ul style="list-style-type: none"> <li>Which areas/arrangements under the programme show the strongest potential for lasting long-term results?</li> <li>What are the key challenges and obstacles to the sustainability of results of programme initiatives that must be directly and quickly addressed?</li> <li>How can the experience and good programme practices influence the strategies to transform human security in Uzbekistan?</li> <li>Are national decision-making institutions (Parliament, Government etc.) ready to improve their measures to transform human security in Uzbekistan?</li> </ul>		<ul style="list-style-type: none"> <li>Data collected throughout the evaluation</li> </ul>	<ul style="list-style-type: none"> <li>Data analysis</li> </ul>

## Annex 5: List of Documents Reviewed

*Action-oriented Roadmap on Further Cooperation between Uzbekistan and the United Nations System for 2017-2020;*

Azerbaev. K., 2018, *Report of National consultant on Business Consulting and Entrepreneurship Development;*

Center for Economic Research, 2015, *MDGs Report – Uzbekistan 2015;*

*Concept Note, Establishment of the Multi-Partner Human Security Trust Fund for Aral Sea Region; CPD 2016-2020;*

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Government of Uzbekistan, UN, *Action-Oriented Roadmap on Further Cooperation Between Uzbekistan and the UN System for 2017-2020;*

*CM Letter of Agreement (#02/1-248 of the) to establish inter-agency Working Group on MPHSTF, 11 October, 2017;*

Government of Uzbekistan, January 17, 2017, *Resolution of Cabinet of Minister of Uzbekistan (no 15) on Additional measures for improvement of socio-economic condition of people living in Karakalpakstan;*

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Kalieva. Z., 2017, UNFPA (Part1), *Assessment report on “Strengthening of family institute by broadening economic rights of women”;*

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Ministry of Economy, October 17, 2017, *Multi-Partner Trust Fund – Aral Sea Region;*

*MPTF Historical Timeline, Measures undertaken towards establishing of the Multi-Partner Human Security Trust Fund for Aral Sea region under the aegis of the United Nations;*

MOE, *Main Partnership Results on Mitigating Aral Sea Disaster*, ppt.;

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*State Program on Implementation of the Strategy of Action for the five priority development directions of the Republic of Uzbekistan in 2018*

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Tulaganov A., IFAS chief specialist, *Monitoring of National Projects of ASBP-3*, ppt.

UN, Government of Uzbekistan, Uzbekistan, *United National Development Assistance Framework – 2016-2020*

UNDP, Institute of Social Research, 2017, *Summary Project Report – Conducting a Socio-Economic Survey of the Needs of the Population in the Aral Sea Region*

UNDP, *Newsletter*

UNDP, *Project Document Uzbekistan, Support to Investment Climate Improvement in Uzbekistan*

UNDP, *TOR, Multi-Partner Human Security Trust Fund for the Aral Sea Region*

UNICEF Uzbekistan, 2018, *Proposal for joining to UN Joint Programme “Building the resilience of communities affected by the Aral Sea disaster through a Multi-Partner Human Security Fund for the Aral Sea”*

UNDP, *Project Document “Sustainable Management of Water Resources in rural areas in Uzbekistan Technical Capacity Building”*

UNDP, *Investment Guide 2018, Invest in Karakalpakstan*

UNDP, Institute of Social Research, 2017, *Summary Project Report – Conducting a Socio-Economic Survey of the Needs of the Population in the Aral Sea Region*

UNRC Helena Fraiser, International Conference, 2018 Tashkent, *"Joint actions to mitigate the consequences of the Aral catastrophe: new approaches, innovative solutions, investments"*, ppt.

UN MPTF Portfolio Manager Mari Matsumoto, International Conference, 2018 Tashkent, *“Mitigating consequences of the ecological catastrophe through establishment Multi-partner Trust Fund for the Aral Sea region under the aegis of UN (MPTF)”*, ppt.

UNIVERSALIA, 2018, *The Rapid Assessment of the United Nations Trust Fund for Human Security Overview Report May*;

UN Joint Programme, 2013, *Report on Donor Assistance in Karakalpakstan in 2006-2011*.

UNESCO, 2017, *Aral Sea and Aral Sea Region*;

*UNDP Strategic Plans 2014-2017, 2018-2021*;

*UNDAF 2016-2020, including joint workplans for 2016-2017 and 2018-2020*;

UNESCO, UNFPA and UNV, *Corporate and country level strategic documents*;

*UN Project Board Meeting Minutes*;

*UN Joint Programme Final Evaluation, 2015, “Sustaining Livelihood Affected by Aral Sea Disaster” (2012-2016)*.

### ***Main Website Consulted***

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<http://www.uz.undp.org/content/uzbekistan/en/home/presscenter/articles/2018/06/11/invest-in-karakalpakstan--all-advantages-of-the-region-featured-.html>

<https://www.facebook.com/UNAralSeaProgramme/>

<http://web.undp.org/evaluation/guidance.shtml#handbook>

<http://web.undp.org/evaluation/policy.shtml>

<http://www.un.org/womenwatch/daw/cedaw/>

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<http://eco.uz/en/bulletin/6522-international-conference-joint-actions-to-mitigate-the-consequences-of-the-aral-catastrophe-new-approaches-innovative-solutions-investments-7-8-june-2018-y>



## Annex 6: Interview Protocol

*Note: This interview protocol was a guide for the interviewers (a simplified version of the evaluation matrix). Not all questions were asked to each interviewee; it was a reminder for the interviewers about the type of information required to complete the evaluation exercise and a guide to prepare the semi-structured interviews. Confidentiality was guaranteed to all interviewees and findings were “triangulated” before being incorporated in the report.*

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### **I. RELEVANCE** - *How does the programme relate to the development priorities of Uzbekistan and of the Republic of Karakalpakstan and how is it aligned with international instruments?*

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- I.1. Is the Programme relevant to national and regional priorities?
- I.2. How is the Programme aligned with international instruments?
- I.3. Does the Programme address the needs of targeted beneficiaries?
- I.4. Is the Programme internally coherent in its design?
- I.5. How is the Programme relevant in light of other donors?

#### ***Future directions for similar programme***

- I.6. What lessons have been learnt and what changes could have been made to the programme in order to strengthen the alignment between the programme and the Partners' priorities and areas of focus?
- I.7. How could the programme better target and address priorities and development challenges of targeted beneficiaries?

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### **II. EFFECTIVENESS** – *To what extent have the expected objectives and outputs of the programme been achieved?*

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- II.1. How has the programme been effective in achieving its expected objectives?
  - To address the human security needs of populations affected by the Aral Sea disaster at the local and national levels
  - To establish a well-coordinated financial mechanism for implementing and sustainable financing of human security initiatives as a way to promote and mainstream the human security approach in the region
- II.2. How is the programme being effective in achieving its expected outputs?
- II.3. How is risk and risk mitigation being managed?

#### ***Future directions for similar programme***

- II.4. What lessons have been learnt for the programme to achieve its objectives?
- II.5. What changes could have been made (if any) to the formulation of the programme in order to improve the achievement of programme's expected results?
- II.6. How could the programme be more effective in achieving its results?

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### **III. EFFICIENCY** - *Has the programme been implemented efficiently, cost-effectively and in-line with international and national norms and standards?*

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- III.1. Is adaptive management used or needed to ensure efficient resource use?
- III.2. Do the *Programme Results Framework* and work plans and any changes made to them used as management tools during implementation?
- III.3. Are accounting and financial systems in place adequate for programme management and producing accurate and timely financial information?
- III.4. How adequate is the M&E framework (indicators & targets)?
- III.5. Are progress reports produced accurately, timely and respond to reporting requirements including adaptive management changes?
- III.6. Is programme implementation as cost effective as originally proposed (planned vs. actual)?
- III.7. Is the leveraging of funds (co-financing) happening as planned?
- III.8. Are financial resources utilized efficiently? Could financial resources have been used more efficiently?
- III.9. How is RBM used during programme implementation?
- III.10. Are there an institutionalized or informal feedback or dissemination mechanism to ensure that findings, lessons learned and recommendations pertaining to programme formulation and

implementation effectiveness were shared among programme stakeholders, UN agencies Staff and other relevant organizations for ongoing programme adjustment and improvement?

III.11. Does the programme mainstream gender considerations into its implementation?

III.12. Is the government engaged?

III.13. To what extent are partnerships/ linkages between institutions/ organizations encouraged and supported?

III.14. Which partnerships/linkages are facilitated? Which one can be considered sustainable?

III.15. What is the level of efficiency of cooperation and collaboration arrangements? (between local actors, UN agencies, and relevant government entities)

III.16. Is an appropriate balance struck between utilization of international expertise as well as local capacity?

III.17. Did the programme take into account local capacity in design and implementation of the programme?

#### ***Future directions for the programme***

III.18. What lessons can be learnt from the programme on efficiency?

III.19. How could the programme have more efficiently addressed its key priorities (in terms of management structures and procedures, partnerships arrangements, etc., ...)?

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#### **IV. SUSTAINABILITY - *To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term programme results?***

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V.1. How are sustainability issues integrated in programme design?

V.2. Does the programme adequately address financial and economic sustainability issues?

V.3. Is there evidence that programme partners will continue their activities beyond programme support?

V.4. Are laws, policies and frameworks being addressed through the programme, in order to address sustainability of key initiatives and reforms?

V.5. Is the capacity in place at the national and local levels adequate to ensure sustainability of results achieved to date?

V.6. Does the programme contribute to key building blocks for social and political sustainability?

V.7. Are programme activities and results being replicated elsewhere and/or scaled up?

#### ***Future directions for the programme***

V.8. Which areas/arrangements under the programme show the strongest potential for lasting long-term results?

V.9. What are the key challenges and obstacles to the sustainability of results of programme initiatives that must be directly and quickly addressed?

V.10. How can the experience and good programme practices influence the strategies to transform human security in Uzbekistan?

V.11. Are national decision-making institutions (Parliament, Government etc.) ready to improve their measures to transform human security in Uzbekistan?

## Annex 7: Evaluation Mission Agenda

### Mission Programme

for the Mid-Term Evaluation of the UN Joint Programme “*Building the resilience of communities affected by the Aral Sea disaster through a Multi-Partner Human Security Trust Fund for the Aral Sea Region*”

(June 18-22, 2018)

Time	Activity
<b>June 18, Monday</b>	
	<b>Meetings with UN Joint Programme participating UN agencies:</b> <i>Discuss efficiency in the coordination and communication processes between participating agencies; key results and achievements, major factors influencing the achievement of results.</i>
11:00 – 11:45	Meeting with UNV: - Ms.Yekaterina Totskaya, UNV Programme Support Officer
12:00 – 13:00	Meeting with the Institute for Social Researches: - Mr. Tursun Akhmedov, Director of the Institute - <i>Discuss the key findings of the Social-economic Needs Assessment survey in the Aral Sea region, prioritizing of interventions based on the results of the assessment</i>
13:00-14:00	Lunch
14:30 – 15:30	Meeting with UNFPA: - Mr. Ulugbek Zaribbaev, National Programme Officer on Gender Issues and Youth - Ms. Feruza Fazilova, National Programme Officer on Reproductive Health
16:00-17:00	<b>UNDP internal meeting</b> - Ms. Helena Fraser, UN Resident Coordinator and UNDP Resident Representative for the Republic of Uzbekistan - Ms. Elvira Izamova, Programme Associate Briefing to UNDP CO Management on Mid-Term Evaluation Plan, discuss UNDP role in UNJP implementation as lead agency and overall coordination and communication processes between participating UN agencies; key results and achievements, challenges and lessons learned.
17:00-18:00	Rest in the Hotel/Work in the office
18:00	Dinner
<b>June 19, Tuesday</b>	
09:30-10:30	Meeting with UNESCO: - Mr. Badarch Dendev, UNESCO Representative a.i. <b>(TBC)</b> - Ms. Muhayyo Makhmudova, Culture Programme Officer
11:00-13:00	Meeting with the Ministry of Economy and Inter-Agency Governmental working groups on establishment of MPHSTF (IWG): - Mr. Akmalkhon Ortikov, Deputy of Minister, Head of IWG <b>(TBC)</b> - Ms. Yulduz Abduganieva, Head of department  <i>The Joint Programme’s relevance to national priorities. Government coordination on the implementation of Joint Programme (Participatory Approach in implementation/Programme Management). Issues related to MPHSTF establishment (ToR design on MPHSTF establishment, Programmatic Framework for Aral Sea region).</i>
13:00-14:00	Lunch
14:30-15:30	<b>Meetings with Donor community representative</b> Meeting with Swiss Cooperation Agency/ Embassy of Switzerland in Uzbekistan <b>(TBC)</b> - Mr. Sohib Akramov, Programme Officer - Ms. Dildora Abidjanova, National Program Officer <i>Discuss partnership strategy, key results of joint projects</i>
16:00-17:00	Work in the office
18:10-19:55	Departure from Tashkent airport (flight to Nukus) and arrival to Nukus
<b>June 20, Wednesday</b>	
9:00-10:00	Meeting with UN Joint Programme Staff in Karakalpakstan

Time	Activity
10:15-10:45	Meeting with Mr. Bakhitjan Habibullaev, Deputy Chairman of the Council of Ministers of the Republic of Karakalpakstan, Secretariat on the issues of investment, innovation, support to private enterprises, promoting free economic and industrial zones, tourism development (TBC)
11:00-11:30	Meeting with the Ministry of Health of the Republic of Karakalpakstan <ul style="list-style-type: none"> <li>- Mr. Daniyar Khodjiev, Minister (TBC)</li> <li>- Mr. Kallibek Kudaybergenov, First Deputy Minister</li> <li>- Ms. Tabassum Ruzmetova, Director of "Project Health 3" within MoH</li> </ul>
11:45-12:15	Meeting with the UN JP partner, Karakalpakstan Branch of the Uzbekistan Business Women Association "Tadbirkor Ayol" <ul style="list-style-type: none"> <li>- Ms. Nazira Elibaeva, Executive Director</li> </ul>
12:30-13:00	Meeting with the UN JP partner, Karakalpakstan Board of the Chamber of Commerce and Industry Mr. Rasul Zarikeev, Chairman of the Chamber
13:00-14:00	Lunch in Nukus
14:00-15:20	Departure from Nukus to Takhtakupir district
15:30-16:00	Meeting with Takhtakupir District Khokim (Mayor) <ul style="list-style-type: none"> <li>- Mr. Jambul Adilov, District Khokim</li> </ul>
16:00-16:30	Visit to project sites and meetings with beneficiaries: <ul style="list-style-type: none"> <li>- Visit to social Infrastructure project site: improved access to electrification by supply and installation of power transformer station in "Aydin Jol" Town Council of Citizens (TCC);</li> <li>- Visit to income generation project site: Family Enterprise "Borshi", "Aydin Jol" TCC</li> <li>- "Tkachixa Taxta" LLC, Dawir Village Council of Citizens (VCC)</li> <li>- "Bee farmer" Aliy Allambergenov, "Makpalkol" VCC, Turman village</li> </ul>
16:30-17:00	
17:00-17:30	
17:30-18:00	
18:00-19:20	Departure to Nukus
19:30	Dinner
<b>June 21, Thursday</b>	
08:00-09:30	Departure from Nukus to Muynak district
09:30-10:00	Visit to social Infrastructure project site: Construction of School #16, Hakim Ata VCC.
11:00-11:30	Meetings with Muynak District Khokim (Mayor) <ul style="list-style-type: none"> <li>- Mr. Sailaubay Daniyarov, District Khokim</li> </ul>
11:30-12:00	Visit to income generation project site -Small Enterprise "Muynak Kompyuter Service"
12:00-12:30	Visit to Cemetery of Ships
12:30-13:30	Lunch in Muynak district
13:30-14:30	Visit to UNV health component project site: "Tikozek" VCC
14:30-16:00	Departure from Muynak to Shumanay district
16:00-16:30	Visit to income generation project site: "Sofia-Malika", Beauty salon
16:30-17:00	Visit to social Infrastructure project site: Drinking water project, "Begjap" VCC
17:00-18:20	Departure from Shumanay district to Nukus city
18:40	Dinner in Nukus
<b>June 22, Friday</b>	
9:25-11:00	Departure from Nukus and arrival to Tashkent
11:00-13:00	Rest in Hotel
13:00-14:00	Lunch
14:00-15:00	De-briefing with UN CO Management and participating UN Agencies
15:00	Rest in Hotel
<b>June 23, Saturday</b>	
TBI	Departure from Tashkent

## Annex 8: List of People Interviewed

Name	Organization
Ms. Yekaterina Totskaya,	UNV Programme Support Officer
Mr. Tursun Akhmedov	Director of the Institute for Social Research
Ms. Khiloyat Akhmedova	Head of project, Institute for Social Research
Mr. Georgiy Krasutskiy	Deputy head of project, Institute for Social Research
Mr. Anvar Shoazizov	Leading expert, Institute for Social Research
Ms. Helena Fraser	UN Resident Coordinator and UNDP Resident Representative for the Republic of Uzbekistan
Ms. Elvira Izamova	UNDP Programme Associate
Mr. Badarch Dendev,	UNESCO Representative a.i.
Ms. Muhayyo Makhmudova	UNESCO Culture Programme Officer
Ms. Elena Tsav	UNESCO Science Unit Officer
Ms. Yulduz Abduganieva	Head of department, Ministry of Economy, member of IWG
Mr. Shuhrat Shukurov	Deputy Director of the Institute for Forecasting and Macroeconomic Research
Mr. Nodirjon Yunusov	Head of International Cooperation and Projects Department, State Committee on Ecology and Environment Protection, member of IWG
Mr. Sohob Akramov,	Programme Officer, Swiss Cooperation Agency/Embassy of Switzerland in Uzbekistan
Ms. Dildora Abidjanova,	National Program Officer, Swiss Cooperation Agency/Embassy of Switzerland in Uzbekistan
Ms. Amina Islamova	Project Manager, Swiss Cooperation Agency/Embassy of Switzerland in Uzbekistan
Ms. Feruza Fazilova	UNFPA National Programme Officer on Reproductive Health
Mr. Bakhtijan Habibullaev,	Deputy Chairman of the Council of Ministers of the Republic of Karakalpakstan, Secretariat on the issues of investment, innovation, support to private enterprises, promoting free economic and industrial zones, tourism development
Mr. Kallibek Kudaybergenov	First Deputy Minister of Health
Ms. Tabassum Ruzmetova,	Director of “Project Health 3” within MoH
Ms. Nazira Elibaeva,	Executive Director, Karakalpakstan Branch of the Uzbekistan Business Women Association “Tadbirkor Ayol”
Mr. Rashid Danegulov	First Deputy District Khokim (Mayor) Takhakupir
Mr. Tolepbergen Nurmatov	Deputy Khokim of Takhakupir on Construction, housing and Utilities
Mr. Sailaubay Daniyarov,	Muynak District Khokim (Mayor)

Mr. Bakhadur Paluanliyazov	Manager of UN Joint Project (funded by UN Human Security Trust Fund, cost shared by UN Agencies)
Mr. Pishenbay Umirbekov	Team Leader on Income
Ms. Nabira Djemuratova	Specialist on Women's Empowerment
Mr. Elbek Shomuratov	Administrative Finance Specialist
Mr. Kamal Khamidov	Community Resilience Building
Mr. Sagitjan Aitjanov	Team Leader on Social Services and M&E
Mr. Ruslan Dauletnazarov	UNV Project Coordinator
Ms. Bagila Jiemuratova	UNV Project Assistant
Mr. Uktam Abdurakhmanov	Fund Establishment and Coordination Specialist
Mr. Tulkun Karimov	Fund Establishment and Coordination Specialist
Mr. Dilshod Rasulov	Resource mobilization and outreach specialist
Mr. Shukhrat Umarkhojaev	Monitoring and Evaluation Specialist

*Met 33 people (13 women and 20 men).*

### **Field Visits:**

#### **Takhtakupir district**

- Visit to social Infrastructure project site: improved access to electrification by supply and installation of power transformer station in “Aydin Jol” Town Council of Citizens (TCC);
- Visit to income generation project site:
  - Family Enterprise “Borshi”, “Aydin Jol” TCC
  - “Tkachixa Taxta” LLC, Dawir Village Council of Citizens (VCC)
  - “Bee farmer” Aliy Allambergenov, “Makpalkol” VCC, Turman village

#### **Moynak district**

- Visit to social Infrastructure project site: Construction of School #16, Hakim Ata VCC.
- Visit to income generation project site -Small Enterprise “Muynak Kompyuter Service”
- Visit to UNV health component project site: “Tikozek” VCC

#### **Shumanay district**

- Visit to income generation project site: “Sofia-Malika”, Beauty salon
- Visit to social Infrastructure project site: Drinking water project, “Begjap” VCC

Participated at Round Table on Multi-Partner Human Security Trust Fund for the Aral Sea region, on 22 June, at UN Building, Tashkent.

## **Annex 9: MTE Rating Scales**

As per the TORs, the Evaluation Team used the following scales to rate the project:

### ***Ratings for Outcomes, Effectiveness, Efficiency, M&E, and Gender Mainstreaming:***

- 6: Highly Satisfactory (HS): no shortcomings
- 5: Satisfactory (S): minor shortcomings
- 4: Moderately Satisfactory (MS): some shortcomings
- 3: Moderately Unsatisfactory (MU): significant shortcomings
- 2: Unsatisfactory (U): major problems
- 1: Highly Unsatisfactory (HU): severe problems

### ***Sustainability ratings:***

- 4: Likely (L): negligible risks to sustainability
- 3: Moderately Likely (ML): moderate risks
- 2: Moderately Unlikely (MU): significant risks
- 1: Unlikely (U): severe risks

### ***Relevance ratings***

- 2: Relevant (R)
- 1: Not relevant (NR)

### ***Impact Ratings:***

- 3: Significant (S)
- 2: Minimal (M)
- 1: Negligible (N)

### ***Additional ratings where relevant:***

Not Applicable (N/A) Unable to Assess (U/A)

## Annex 10: List of Communication and Promotional Activities

*Copy of Section IV: Promotional Activities from the Annual Progress Report May 2017 – May 2018.*

Key events and achievements were promoted through all available mass media sources - national TV and radio broadcastings, print media, and internet resources. A set of appropriate handout and visibility materials with a programme moto “**The Sea is Gone, People are Not**” was developed and disseminated during the key events, workshops, seminars and trainings to raise awareness on the support, provided to the communities, living in the most remote and affected by the Aral Sea crisis areas, through implementing the human security approach.

### **Public Sector / Government**

- **Round table on the Needs Assessment Report:** On [November 15](#), 2017, a presentation of the main results of socio-economic and environmental research and a study of the needs in the Republic of Karakalpakstan was held in the capital. The event was attended by representatives of local authorities, diplomatic missions, international organizations and financial institutions. Information Agency “Jahon” under the Ministry for foreign Affairs:

<http://jahonnews.uz/ru/ekologiya/132/41318/>

Radio report with the interview from the UN Resident Coordinator in Uzbekistan and the Programme Manager

<https://www.facebook.com/UNAralSeaProgramme/videos/1536397783119570/>

Short report is available here [https://twitter.com/UNDP\\_Uzbekistan/status/1004580222891626496](https://twitter.com/UNDP_Uzbekistan/status/1004580222891626496)

- **Human Security Sessions:** On November 15, 2017, Ms. Tadjbakhsh, International Consultant of the Programme, Professor from Paris Institute of Political Studies conducted training on human security approach for about 60 attendees of the Academy of Public Administration under the President of the Republic of Uzbekistan.

<https://www.facebook.com/UNAralSeaProgramme/posts/1525578620868153>

On November 14, 2017 Ms. Tadjbakhsh, held a session on implementation of Human Security approach for National Partners - representatives of ministries, agencies, state committees and social organizations.

<https://www.facebook.com/media/set/?set=a.1524229837669698.1073741935.318537724905588&type=3>

<https://www.facebook.com/UNDPUzbekistan/posts/1721323801220827>

Trainings in Karakalpakstan with the local administration and government representatives was also held on the concept of the human security.

<https://www.facebook.com/UNAralSeaProgramme/posts/1530281820397833>

### **International community**

- **Donors visit to Karakalpakstan:** From 12-14 October 2017, Helena Fraser, UN Resident Coordinator in Uzbekistan and Olivier Chave, Ambassador of Switzerland in Uzbekistan visited the Republic of Karakalpakstan to familiarize with the current situation in the region and efforts of the Government to prevent the consequences of the environmental crisis; measures for adaptation to the climate change as well as the UN activities in Karakalpakstan. Mass media representatives also accompanied the mission.

<http://www.uz.undp.org/content/uzbekistan/en/home/presscenter/pressreleases/2017/10/14/un-resident-coordinator-visited-karakalpakstan.html>

TV Report <https://www.facebook.com/UNAralSeaProgramme/videos/1550057778420237/>

Interview from UN RC in Uzbekistan to the National TV covering the visit to the Aral Sea region

<https://www.facebook.com/UNAralSeaProgramme/videos/1598404870252194/>

- **Session on Human Security:** Representatives of the UN agencies working in Uzbekistan attended training on Human security approach.

<https://www.facebook.com/UNAralSeaProgramme/posts/1525637640862251>

- **International Conference** "Joint actions to mitigate the consequences of the Aral catastrophe: new approaches, innovative solutions, investments"; **Central Asian International Environmental Forum:** "Strengthening cooperation in the field of environmental protection and sustainable development"

**Press club within the Environmental Forum**

[https://twitter.com/UNDP\\_Uzbekistan/status/1004038477405675521](https://twitter.com/UNDP_Uzbekistan/status/1004038477405675521)

**De-Briefing Session**



UN RC in Uzbekistan held [a de-briefing session](#) dedicated to the Central Asian Forum and the International Conference to highlight the issues of Human Security approach within the Multi-Partner Trust Fund and attract donors' community. Heads of International missions, representatives of foreign financial institutions, UN agencies attended the event.

[UN Special Adviser for Human Security](#) attended the abovementioned events where presentations on the Multi-Partner Human Security Trust Fund were made with a call for the donor community's attention. A set of visibility goods with a programme moto was handed out during the event where over 300 local and international experts, specialists and donors, as well as local, national, regional and foreign mass media representatives took part.

Exclusive interview with the UN Special advised on Human Security for UzReport TV channel <https://www.facebook.com/UNAralSeaProgramme/videos/1728388620587151/>  
Exhibition within the [International Conference](#).

## **Population**

**Newspapers, On-line editions, Television, Radio, Social media, Blogging:** The programme continues a close cooperation with the key regional and local newspapers in order to deliver information on programme activities to the wide range of audiences. In addition, popular web-newspapers have actively joined to raise awareness of population about the programme activities. During the reporting period over 150 news articles, TV and Radio reports in Uzbek, Russian, Karakalpak and English languages with interviews were published and broadcasted. Some of those articles are provided below:

"BIRJA" Newspaper, November 23, 2017

<http://www.biznes-daily.uz/ru/component/content/article/65-top-news/51995-bmt-loyihasi-ijrosi-taqdimoti>

Sputnik.ru on-line Newspaper <http://sputniknews-uz.com/society/20171016/6566715.html>

"Turkiston-press" Information agency <http://turkistonpress.uz/article/36161>

Oriat DONO Radio Report <https://www.facebook.com/UNAralSeaProgramme/videos/1683977358361611/>

HABAR TV Report <https://www.facebook.com/UNAralSeaProgramme/videos/1686887894737224/>

Twitter <https://twitter.com/UNhumansecurity/status/1004405197404286976>

[https://twitter.com/UNDP\\_Uzbekistan/status/1004572743197601794](https://twitter.com/UNDP_Uzbekistan/status/1004572743197601794)

Instagram <https://www.instagram.com/p/Bb1y1igF66P/?taken-by=undpeurasia>

The **Facebook** page of the UN Joint Programme on the Aral Sea has 2,477 subscribers (about 345 new followers within the last period) and each publication covers about 350-900 users of the network. <https://www.facebook.com/UNAralSeaProgramme/>

**Animation video.** An animation video describing the key goals of the UN Joint Programme, Human Security approach in action, the structure of the MPHSTF was developed and demonstrated to the partners.

 [aral\\_eng\\_16052018.mp4](#)

Information materials documenting the programme's results and achievement is also available and can be found via the following links at [www.uz.undp.org](http://www.uz.undp.org)

UN Resident Coordinator visited Karakalpakstan

<http://www.uz.undp.org/content/uzbekistan/en/home/presscenter/pressreleases/2017/10/14/un-resident-coordinator-visited-karakalpakstan.html>

The Coca-Cola Foundation is investing \$100,000 to improve water supply systems in the Takhtakupir district of Karakalpakstan within the UN Joint Programme on the Aral Sea

<http://www.uz.undp.org/content/uzbekistan/en/home/presscenter/articles/2018/02/26/-100-000-----html>

Promoting women entrepreneurship in Karakalpakstan

<http://www.uz.undp.org/content/uzbekistan/en/home/presscenter/articles/2018/04/23/promoting-women-entrepreneurship-in-karakalpakstan.html>

A success story on the joint initiative of UNDP and the Government of Turkey within the first UN Joint Programme was produced telling about family beekeeping enterprises that are now turned into larger facilities generating bigger profits.

<http://www.uz.undp.org/content/uzbekistan/en/home/ourwork/povertyreduction/successstories/a-busy-bee.html>

### **Handout materials**

The following links provide access to some of the publications and visibility materials, which were produced within the frame of the Programme and disseminated among the government and development partners to promote partnership in the Programme implementation.

- [Needs assessment report](#) – short version;
  - [Needs Assessment report](#) – full version;
  - [Investment Guide](#) – joint product with another UNDP project in order to provide information about the investment opportunities in Karakalpakstan with the purpose to attract investors to the region that could help to ensure economic, food and health security for the population of the Aral Sea region;  
[Programme One pager](#);  
[Newsletter 2017/2](#);  
[Newsletter 2018/1](#).
  - Visibility materials (e.g. Caps, T-shirts, Folders, Notebooks, Pens, Eco Bags and Mugs)
- **Newsletter:** During the reporting periods special edition Newsletters were developed and shared with the representatives of government and diplomatic corps during field trip to Karakalpakstan and meetings, held in Nukus and Tashkent. The content of the publications highlight the key events, meetings, new initiatives and activities held during the reporting period (2017-2018).
  - **Infographics:** Infographics on human security concept, the results of the 1<sup>st</sup> joint programme, MPHSTF governance and funding architecture were developed to showcase the advantage of the human security approach, demonstrate the Programme results and highlight the necessity of the joint collaboration under the MPHSTF. Those materials were also globally disseminated with the support of the HSU communication channels including HSU Twitter account.
    - 1 - [Human Security approach](#);
    - 2 - [MPHSTF](#);
    - 3 - [Results of the 1<sup>st</sup> UN Joint Programme](#)
    - 4 - [Aral Sea crisis and its consequences](#)

## **Annex 11: Audit Trail**

The audit trail is presented in a separate file.

## Annex 12: Evaluation Report Clearance Form

### EVALUATION REPORT CLEARANCE FORM

for the Mid-Term Evaluation Report of the

**UN JOINT PROGRAMME “*Building the resilience of communities affected by the Aral Sea disaster through a Multi-Partner Human Security Trust Fund for the Aral Sea Region*”**

*Evaluation Report Reviewed and Cleared by*

***UNDP Country Office***

Name: \_\_\_\_\_

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

***UNDP RTA***

Name: \_\_\_\_\_

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