UNDP KAZAKHSTAN COUNTRY PROGRAMME DOCUMENT
REGIONAL COOPERATION OUTCOME EVALUATION

Submitted to UNDP Kazakhstan
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ACRONYMS

ACSAC   Agency for Civil Service Affairs and Anti-Corruption
ACSH   Regional Hub of Civil Service in Astana
ARR   Assistant Resident Representative
ADB   Asian Development Bank
BRI   Belt and Road Initiative
CBF   Common Budgetary Framework
CIS   Commonwealth of Independent States
CO   Country Office
CPD   Country Programme Document
DAC   Development Assistance Committee
DP   Development Partner
FEPD   Foreign Economic Policy Department
FGD   Focus Group Discussion
GEWE   Gender Equality and Women Empowerment
GIRA   Government of the Islamic Republic of Afghanistan
GoK   Government of Kazakhstan
GRB   Gender Responsive Budgeting
HDR   Human Development Report
HRBA   Human Rights Based Approach
IRB   Istanbul Regional Hub
JICA   Japan International Cooperation Agency
JSC   Joint Stock Company
KII   Key Informant Interview
LMIC   Lower Middle-Income Country
M&E   Monitoring and Evaluation
MIC   Middle Income Country
MFA   Ministry of Foreign Affairs
MoWA   Ministry of Womens Affairs
MPTF   Multi Partner Trust Fund
NCC   Net Contributor Country
NIM   National Implementation Modality
ODA   Official Development Assistance
ODI   Overseas Development Institute
OECD   Organization for Economic Cooperation and Development
RoI   Return on Investment
RR   Resident Representative
SDG   Sustainable Development Goal
SSC   South-South Cooperation
ToC   Theory of Change
ToR   Terms of Reference
TrC   Triangular Cooperation
UMIC   Upper Middle-Income Country
UN   United Nations
UNCT   United Nations Country Team
UNPFD   United Nations Partnership Development Framework

UNDP	United Nations Development Programme
UNDS	United Nations Development System
UNEG	United Nations Evaluation Group
UNICEF	United Nations
UNITAR	United Nations Institute for Training and Research
VfM	Value for Money

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EXECUTIVE SUMMARY

The Kazakhstan Context and the Rationale for the Regional Cooperation Outcome. As stated in its long-term development plan, the *Strategy Kazakhstan 2050*, Kazakhstan aims to become one of the world's thirty most developed countries, and on a par with the Organization for Economic Cooperation and Development (OECD) member states, as well as to play a consequential geopolitical role, by that year. To date the country has made significant progress towards these goals. For example, from the time of its independence in 1991 up to 2015, Kazakhstan has graduated from a Lower Middle-Income Country (LMIC) to an Upper Middle-Income Country (UMIC), primarily due to the growth of its extractives industries; and its Human Development Index (HDI) value also increased by 15.1% from 0.690 to 0.794[1], largely as a result of improvements in its health and education sectors. Kazakhstan has also strengthened its regional and international geopolitical positioning through its multi-vector diplomacy[2] and by, among others, securing the non-permanent seat on the UN Security Council for a two-year term from January 2017.

The country has demonstrated its commitment to good global citizenship through its endorsement of the international 2030 Agenda and the Sustainable Development Goals (SDGs). It has also strategically positioned itself as a convener and as an emerging donor for bilateral as well as South-South and Triangular Cooperation. The country ratified an Official Development Assistance (ODA) Law in 2014 and, noting that the provision of ODA is an important criterium for OECD membership, the Government of Kazakhstan (GoK) has aligned its aid policies with its intended mid- to longer term regional and global development facilitator role. The country has also initiated the process of developing a government agency dedicated to ODA. At this time, the ODA agency has not yet been established; and the Ministry of Foreign Affairs (MFA) is the main implementor of the country's ODA policy.

Despite its notable gains, Kazakhstan still faces development challenges: its economic growth has not been inclusive; there are marked regional disparities; and gender inequality is widespread. Moreover, Kazakhstan's progress could be considerably reduced by various internal as well as external threats. For example, following the 2014 collapse of the international oil prices upon which its economy depends, the country experienced a significant economic slowdown. Furthermore, Kazakhstan's achievement of UMIC status also has implications for the assistance it still receives, as it is assumed that middle income host countries are able to finance their own development priorities.

Noting the country's progress towards its goals of reaching OECD standards and of achieving the SDGs, as well as its ongoing development challenges, Kazakhstan's current national priorities include economic diversification, civil service reform, reducing gender equality and formalizing its status as an aid donor country.

The United Nations Development Programme (UNDP) Country Programme Regional Cooperation Outcome. As the framework for UNDP's work in Kazakhstan for the period from 2016-2020, the current Country Programme Document (CPD) outlines how the agency will contribute to Kazakhstan's development priorities and results in four areas: sustainable growth through income diversification, natural resource management and resilient communities; reducing inequalities; effective governance and public service delivery; and regional cooperation and development. This evaluation focuses upon CPD Outcome 3.1, "Regional Cooperation", for which the stated target is "*By 2020,*

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[1] Op. cit., ibid.
[2] E.g., A. Borghjis, op. cit, p. 31

KAZAID/ODA (is) functioning and well recognized by international community and the UN, and regional cooperation hubs (have) demonstrated success in East-East/South-South cooperation". The Regional Cooperation Outcome (the Outcome) aligns with the 2016-2020 Kazakhstan-United Nations Partnership Framework for Development (UNPDF) Outcome 3.1, "The *Government, together with partners, promotes the achievement of Sustainable Development Goals (SDGs) in the region and leads in promoting and implementing United Nations principles, standards and Conventions".*

The Outcome includes three interlinked outputs through which UNDP can support Kazakhstan's aim to strengthen its position as an emerging donor: 1. *The national ODA agency is established and well-functioning;* 2. *The Regional Hub of Civil Service in Astana (is) providing strategic knowledge and innovative solutions globally contributing to effective South-South and triangular cooperation*; and 3. *Regional and international development initiatives in place and functioning, supporting the positioning of Kazakhstan as an upper MIC country and its emerging leadership role at the regional level.*

Three projects have been implemented under the Outcome's first two outputs: 1. *Expert support for the establishment of a national ODA system in Kazakhstan* (The *KAZ ODA* project), which ended in June 2017; 2. *Promoting Kazakhstan's Official Development Assistance Cooperation with Afghanistan* (*the Afghanistan Project),* which was completed in May 2018; and 3. *Institutional Support to the Regional Hub for Civil Service in Astana* (the Hub Support project), which is ongoing. Activities under the Outcome's third output are planned in 2019.

Total financing for the Outcome was originally estimated at US $14,700,00.00. The Hub Support and KAZ ODA projects were cost-shared with Government. The Afghanistan project was supported through the UNDP-Japan Government Partnership Fund through the Embassy of Japan in Astana and JICA, with an in-kind contribution from the GoK. UNDP's primary national partners for the Outcome are the Ministry of Foreign Affairs (MFA), particularly its Foreign Economic Policy Department (FEPD), and the Agency of Civil Service Affairs and Anti-Corruption (ACSAC).

The UNDP Country Programme 'Regional Cooperation Outcome Evaluation. The evaluation of the Regional Cooperation Outcome was commissioned by the UNDP Kazakhstan Country Office (UNDP KZ CO). The objective of this assignment was to conduct an evaluation of the UNDP CPD Regional Cooperation Outcome based on the detailed Terms of Reference (ToR) presented in **Annex 1**. The evaluation considers the Outcome's relevance, its achievements and progress against planned results, the sustainability of its results, and its effectiveness as a mechanism for partnership and resource mobilization. The evaluation's findings and recommendations are also intended to inform Outcome programming and financing for the remainder of this CP cycle and in next CP (2020-2024). The primary audiences for whom the evaluation is intended are UNDP and its national partners, as well as international Development Partners (DPs) and stakeholders.

Evaluation Limitations. The turnover of staff in both UN agencies and in GoK offices since the inception of the current CP hindered the collection of background information on the Outcome's formulation and early implementation phase; and the short timeframe for the evaluation curtailed some of its planned interviews as well as other data collection. In addition, the lack of ToCs for the Outcome's interventions – each of which was formulated prior to the July 2016 ToC requirement – hinders the measurement of their results. Moreover, none of the three Outcome projects had any metric for assessing post-training performance or other intended development changes; and the lack of post-training beneficiary follow up has also hampered the evaluation's assessment of the Outcome's development results to date

Major Findings of the Regional Cooperation Outcome Evaluation include:

- **Relevance.** The Outcome's relevance is closely linked to its alignment with the *Strategy Kazakhstan 2050* and other national development priorities and policies; to the 2016-2020 UN-Kazakhstan UNPDF and other UNDP strategies and programming frameworks; and to the SDGs, particularly Goals 1, 5, 16 and 17. Since the Regional Cooperation Outcome was formulated in 2015, the international 2030 Agenda has been introduced; and innovative solutions for SDG financing and achievement, including Southern solutions, have been developed and/or applied. It is appropriate to highlight them more visibly in the Outcome's future programming in order to strengthen its relevance to the current global development agenda, as well as to Kazakhstan's intentional regional positioning. Some Southern SDG solutions already feature in the Hub project; and some are also anticipated in the Regional Cooperation Outcome's third Output.

- **Effectiveness.** The Outcome has been highly effective as a platform for regional and international partnership brokerage; and UNDP's high-level technical expertise, global network and international convening power have been well-demonstrated through it. Moreover, through its support to the Hub project for peer learning, networking, and regional and international partnership brokerage, among others, UNDP has strategically strengthened its position as a broker of development solutions.

  The Hub Output is on track to reach its expected outputs. However, at this point in the CP cycle, the expected result of the ODA output, the establishment of a KAZ ODA agency, has not yet been realized. A key challenge has been that the finalization and implementation of the draft foundational legal and operational documents produced under this output are contingent upon Government approval of the legislation to establish the ODA entity. This legislation has not yet been enacted; and the 2015-2018 Government freeze on new programmes, as well as insufficient national consensus on establishing an ODA agency, have been factors contributing to that. Finally, although extensive capacity development was provided through the Outcome to MFA staff and other beneficiaries, the absence of baselines as well as of post-event follow up studies hinders an evidence-based assessment of the extent to which these activities were effective.

- **Efficiency.** While the Outcome has proven very efficient and effective as a platform for resource mobilization, the extent to which the GoK will continue to cost-share future programmes is unknown; and UNDP will require a wider resource base to reliably finance additional Outcome programming. In addition, reporting under the Regional Cooperation Outcome has been output-focused, and its outcome reporting has been inadequate to quantify or to qualify many of the results that are anecdotally attributed to it.

- **Sustainability:** The institutionalization of the UNDP-produced midterm strategy for Kazakhstan's ODA 2016-2020 and the production and dissemination of a wide variety of knowledge products through the Outcome are positive sustainability indicators. However, although UNDP has undertaken extensive capacity building of its Outcome partners, it has been incompletely institutionalized under the ODA output, in part due to frequent Ministry of Foreign Affairs' (MFA) staff rotations and the fact that the ODA agency has not yet been established. The extent to which capacity building has been achieved through the Hub Support output is also unclear. This poses a risk for the maintenance of results after UNDP support ends. Moreover, the current funding modality for the Hub Support Project is not sustainable.

- **GEWE.** Gender has been incompletely integrated into the Outcome, and none of the Outcome activities include gender disaggregated baselines or other data which would allow an evidence-based assessment of the Outcome's contribution to GEWE in the public sector. Moreover, gender parity is not evident in the Outcome's project management.

Conclusions

- **Relevance.** The Outcome aligns with the *2050 Kazakhstan Strategy,* UNDP strategies and programming frameworks and several SDGs. Since the Outcome was formulated and the international 2030 Agenda was launched in 2015, innovative solutions for SDG financing and achievement, including "Southern" SDG solutions, have been developed and/or applied. It will be key to reference these solutions in future Outcome programming in order to increase its relevance to the current global development agenda as well as to support Kazakhstan's intentional regional leadership role.

- **Effectiveness.** Although the Outcome has been highly effective as a platform for regional and international partnership brokerage, and its Hub support output is on track to achieve many of its planned targets, the expected result of the ODA output, the establishment of a KAZ ODA agency, has not yet been achieved. A key challenge has been that its realization is contingent upon Government approval of the legislation which would establish the ODA entity; and this legislation has not yet been enacted. In order to more effectively and strategically influence ODA policies at the national level, including building greater national consensus for the establishment of an ODA agency, UNDP must increase its coordination with ODA-relevant GoK stakeholders beyond the MFA/FEPD/ODA.

  Finally, although extensive capacity building activities have been conducted under each the Outcome's interventions, and there is anecdotal evidence that the professional skills of the Hub and MFA staff and other Outcome beneficiaries have been strengthened by them, an evidence-based assessment of the extent to which these trainings contributed to women's empowerment, individual skill sets and/or institutional capacity development, was not possible due to the lack of any pre-training baselines or any post-event follow up of those trained; and the Outcome would benefit from inclusion of post-training follow up activities in the design, workplans and budgets of its interventions.

- **Efficiency**. The Outcome has been highly efficient and effective as a platform for the mobilization of resources. However, UNDP will require a wider resource base, beyond the GoK, for reliable project funding for future programming. As UNDP has demonstrated expertise and experience in utilizing various innovative financing modalities for development in other countries, exploration of new funding modalities which are appropriate to the Kazakhstan context could also prove productive for the UNDP KZ CO. Finally, the outcome level reporting of activities, which is inadequate to quantify or qualify many of the results anecdotally attributed to it, may benefit from the rewording of the project report template as well as the guidance of project reporting staff on M&E requirements.

- **Sustainability:** The institutionalization of some of the Outcome's outputs and the production and dissemination of knowledge management products are positive sustainability indicators.

However, the absence of a functional ODA agency with dedicated staff and a KM strategy poses sustainability risks for the ODA-related capacity building provided to the MFA through the Outcome. Nonetheless MFA, as the main implementor of the GoK ODA policies, will remain a key partner of UNDP; and introductory ODA-related training could be offered more broadly to MFA staff as part of their Ministry induction. Finally, the current financing modality for the Hub as a project is not sustainable; and its sustainability is linked to its institutionalization.

Recommendations for UNDP to build on the emerging results from the Regional Cooperation Outcome for the remainder of the current CP and beyond are presented below.

Evaluation Criteria	Recommendation
Relevance	Strengthen the relevance of the Outcome by more visibly referencing innovative solutions for SDG financing and achievement, including Southern solutions, in future programming.
Effectiveness	Strengthen the effectiveness of the Outcome in the areas of : **1. Partnership and Coordination** by **Maintaining current national partnerships.** To maintain the visibility of UNDP's partnership with the MFA, continue the secondment of a Project Assistant to the MFA/FEPD as a cost-effective way to work with staff on ODA matters until the KAZ ODA agency is established. UNDP support can scaled up after the ODA agency is launched. **Brokering wider strategic partnerships**. Beyond its current partnership with the MFA, UNDP should increase its coordination in ODA-related areas with the line ministries with whom its works through its other portfolios, as well as with its other national partners from the Afghanistan SSTC project. Options to increase ODA-related coordination include the secondment of UNDP staff to selected ministries. **2. South-South and SSTC** **Build on the Afghanistan SSTC pilot project.** Building on the partnerships developed through the Afghanistan project, coordinate and partner with the Afghanistan Civil Service Institute to identify specific areas and sectors where Kazakhstan's experience and expertise can support the national civil service reform priorities, including increasing women's voice and participation in public service ; formulate interventions accordingly. **Build on the Hub Support Project.** Build on the institutional and country partnerships developed through the Hub Support project to grow the number of SSTC intervenions under this output, both to increase the project's operational financing ; and also to support the GoK's intended regional leadership role.
Efficiency	Strengthen the Outcome's operational efficiency in the areas of **1. Monitoring and evaluation** through **Post-training follow up**. To better document and measure the Outcome's capacity development results, include post-training follow up activities in the design, workplans and budgets of future Outcome projects.

	Improved outcome reporting. To improve outcome reporting, revise the current reporting template to more explicitly differentiate between outputs/activities and outcomes/results ; and provide guidance on M&E requirements to staff during the project inception phase. **2. Financing** through **Innovative financing instruments scoping study.** To widen UNDP's resource base, undertake a scoping study of the innovative development financing instruments which have proved effective in other MICs, including "Southern" solutions such as Islamic financing modalities, to better identify those which are most feasible within the current Kazakhstan context, and most appropriate for UNDP as an international development agency, and upon which the agency can focus its resource mobilization and partnership efforts for the remaining and forthcoming CP cycles. **Innovative financing workshop.** To further inform and guide Outcome resource mobilization, convene a half day workshop by an accredited authority for UNDP management and staff to provide them with a basic level of understanding on innovative development financing options and how they can support the achievement of the SDGs.
Sustainability	Mitigate sustainability risks by : **1. Re-focusing support to national capacities for ODA management** : As MFA, as the main implementor of the GoK ODA policies, will remain a key partner of UNDP, reduce the sustainability risks related to high staff turnover in the MFA/FEPD by building ODA capacities in MFA more broadly, beyond the FEPD, as a part of the MFA staff induction process. Utilize the FAQs and other tools produced by UNDP for the KAZ ODA project in these trainings. See also above, **Recommendations - Efficiency**, "**Maintaining current national partnerships**". **2. Institutionalizing the Hub Project:** Determine options for transitioning the Hub's Project Board into a legal entity, and its implications for continued funding and project support through UNDP; and finalize the most appropriate institutionalization option before the end of the current project cycle in 2020
GEWE	Improve GEWE integration in the Outcome, and strengthen the assessment of UNDP's contribution to GEWE through the Outcome, with **1. Gender-specific baselines, indicators and targets.** Articulate and use gender-specific baselines, targets and SMART indicators in project formulation, implementation and evaluation, including in RRFs, AWPs, reporting templates and other project management tools, in order to better assess Outcome's progress on and contribution to gender equality and women's empowerment. **2. Gender-responsive budgeting in projects.** Use GRB tools to determine and allocate a percentage of projects' budgets to GEWE. **3. Gender parity in project management and implementation.** Aim for gender parity on project boards and in project management and support roles

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1   INTRODUCTION

1.1 The Kazakhstan Context and the Rationale for the UNDP "Regional Cooperation" Outcome Activity.
As stated in its long-term development plan, the *Strategy Kazakhstan 2050*, Kazakhstan aims to become one of the world's thirty most developed countries, and on a par with Organization for Economic Cooperation and Development (OECD) member states, by that year[3].   In this connection, several of Kazakhstan's national and international policies and reforms have been undertaken in the context of the country's ambition to join the OECD.

To date the country has made significant progress towards these goals. From the time of its dependence in 1991 up to 2015, Kazakhstan's Gross National Income (GNI) per capita increased by some 59.9 percent[4]; and it transitioned from a Lower Middle-Income Country (LMIC) to an Upper Middle-Income Country (UMIC)[5], primarily due to the growth of its extractives industries[6].

Over the same period, Kazakhstan's Human Development Index (HDI) value also increased by 15.1% from 0.690 to 0.794[7], largely as a result of improvements in its health and education sectors[8]. Consequently, the country realized significant progress towards the achievement of the Millennium Development Goals (MDGs) [9], including Goal 1 on poverty reduction; Goal 2 on universal primary education and for the target of Goal 3, to eliminate gender disparity in primary and secondary education. Kazakhstan is therefore rated as a High Human Development Country in the 2016 Human Development Report, with a ranking of 56 out of 188 countries globally[10].

 Moreover, in addition to its domestic development gains, Kazakhstan has also strengthened its regional and international geopolitical positioning through its multi-vector diplomacy[11] and by, among others, securing the non-permanent seat on the UN Security Council for a two-year term from January 2017. Kazakhstan's other multi-lateral engagements include memberships in the WTO; the Organization of the Islamic Cooperation (OIC); the Eurasian Economic Union; and the Shanghai Cooperation Organization. Additionally, the country hosts the annual Astana Economic Forum, and it organized the global Expo 2017

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[3] *Foreign Policy Concept for 2014-2020 Republic of Kazakhstan,* clause 8, p. 1:   http://mfa.gov.kz/en/content-view/kontseptsiya-vneshnoj-politiki-rk-na-2014-2020-gg

[4] United Nations Development Programme Kazakhstan, *Sustainable Development Goals and Capability Based Development in Regions of Kazakhstan: National Human Development Report 2016,* n.p., 2016, Table A, p 3

[5] World Bank Economy Classification by Country, p. 2:   http://gi.org/wp-content/uploads/2018/01/World-Bank-Country-List-Upper-Middle-and-High.pdf

[6] See, for example, A. Borghjis,"Kazakhstan: Aiming for the Top 30", *Japan Bank for International Cooperation,* no. 3, 2017, pp. 30-32:   https://www.jbic.go.jp/wp-content/uploads/reference_en/2017/03/54472/20170323_seriesMacroKAZ.pdf.   Kazakhstan's proven oil reserves are the ninth largest globally: United Nations Country Team Kazakhstan, *Mainstreaming, Accelerating and Policy Support: Contribution to Kazakhstan's Roadmap to Attain the SDGs,* Astana, 2016*,* p. 3

[7] Op. cit., ibid.

[8] For example, there was a two-thirds reduction in mortality among children under age 5, and the maternal mortality rate fell from 55 per 100,000 live births in 1990 to 12.5 in 2015: NHDR 2016

[9] The MDGs were eight anti-poverty targets which guided the global development agenda from 2000 – 2015. The MDGs were superseded by the SDGs with the adoption of the 2030 Agenda in 2015.

[10] UNDP, *2016 Human Development Report,* New York, 2016, p. 198

[11]E.g., A. Borghjis, op. cit,, p. 31

in "Future Energy". Furthermore, as part of its strategy to become a regional financial hub, which would include Islamic financing, Kazakhstan launched the Astana International Financial Centre in July 2018[12].

Kazakhstan has also demonstrated its commitment to good global citizenship through its endorsement of the international 2030 Agenda and its inclusive, multi-stakeholder partnership approach for achieving the Sustainable Development Goals (SDGs). The country has also strategically positioned itself as a convener and as an emerging donor for bilateral as well as South-South and Triangular Cooperation.[13] In this connection, Kazakhstan has disbursed some US $450 million in development aid and humanitarian assistance over the past twenty years,[14] primarily to neighbouring countries.

As stated in its 2014 Official Development Assistance (ODA) Law[15], the GoK considers a primary aim of ODA is to further integrate the country into regional and international relations systems. Moreover, as the provision of ODA is an important criterion for OECD membership, Kazakhstan has aligned its aid policies with its intended mid- to longer term regional and global development facilitator role.   To mark its transition from aid recipient to aid donor, Kazakhstan has also initiated the process of developing a government agency dedicated to ODA[16].   At this time, the ODA agency has not yet been established; and the responsibility for ODA disbursements and related activities is divided across several ministries. The Ministry of Foreign Affairs (MFA) is the main implementor of the country's ODA policy.

Despite its notable development gains, Kazakhstan's progress could be significantly reduced by various internal as well as external threats, e.g. by problems associated with corruption[17] and weak governance, or by a fall in the global oil demand and prices upon which its economy depends. For example, following

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[12]Additional details on the AIFC are available on its website at https://aifc.kz/

[13] South-South Cooperation is defined as "…a process whereby two or more developing countries pursue their individual and/or shared national capacity development objectives through exchanges of knowledge, skills, resources and technical know-how, and through regional and interregional collective actions, including partnerships involving Governments, regional organisations, civil society, academia and the private sector, for their individual and/or mutual benefit within and across regions". Triangular cooperation **…** involves Southern-driven partnerships between two or more developing countries, supported by a developed country(is) or multilateral organization(s), to implement development cooperation programmes and projects.': United Nations, *Framework of Operational Guidelines on United Nations Support to South-South and Triangular Cooperation*, High-level Committee on South-South Cooperation, New York, 2012 (SSC/17/3).
E.g. the Africa- Kazakhstan Partnership for SDGs initiative which was implemented in 2015-2017 through the UNDP Regional   Bureau   for   Africa: http://www.undp.org/content/undp/en/home/presscenter/pressreleases/2015/09/28/undp-government-of-kazakhstan-to-help-45-countries-in-africa-prepare-for-implementing-the-sdgs.html

[14] Interview with Mr. Olzhas Issabekov, Director, Foreign Economy Policy Department, Ministry of Foreign Affairs, in Zhazira Dyussembekova, "Kazakhstan's foreign aid systems are maturing, integrating with foreign policy", *The Astana Times,* 12 February 2018

[15] Republic of Kazakhstan, *Law of the Republic of Kazakhstan on Official Development Assistance,* 10 December 2014, No. 263-V, article 3, clause 1.1 (unofficial translation; hereafter "ODA Law 2012")

[16] A roadmap for the proposed KAZ AID unit was approved in 2013; legislation endorsing this unit was passed in December 2014. Humanitarian aid is explicitly excluded from this: ODA Law 2014, p. 6, clause 2

[17] Until 2017, Kazakhstan was ranked as one of the most corrupt countries in the world, according to Transparency International's *Corruption Perception Index 2017:* As the country scored above 30 points in 2017, it is no longer included in this category.

the collapse of international oil prices in 2014, Kazakhstan experienced a significant economic slowdown[18]; and the GoK imposed a freeze on all new programmes from 2015 until the end of 2018.

Among other development challenges, Kazakhstan's economic growth has not been inclusive; and considerable regional differences remain. Gender inequality is still widespread: women remain underrepresented in key political decision-making positions at both the national and local levels; and women's income is on average only some 67 percent of men's.[19] Consequently, Kazakhstan has a Gender Inequality Index rating of only 0.197[20], with a ranking of 43 out of 160 countries[21]; and it scored below the Russian Federation and Ukraine on the *Women's Empowerment Dashboard* in the UN's 2018 Human Development Report.[22]

Finally, the country's achievement of UMIC status also has implications for the bilateral and multi-lateral assistance it still receives, as it is assumed that middle income host countries are able to finance their own development priorities, or to share those costs with Development Partners (DPs). As aid flows to Kazakhstan have dramatically decreased since 2008[23], other kinds of development financing and partnerships, such as government cost-sharing, South-South - Triangular Cooperation; concessional loans, Foreign Direct Investment (FDI), public-private partnerships (PPPs) and impact investment offer opportunities through which cooperation between MICs, donors, international organizations and other DPs can continue after a country's graduation to MIC status precludes the provision of more traditional types of assistance.

Noting the country's progress towards its goals of reaching OECD standards and of achieving the SDGs, as well as its ongoing development challenges, Kazakhstan's current national priorities include economic diversification, civil service reform, reducing gender equality and formalizing its status as an aid donor country.

1.2 *The UNDP Kazakhstan Country Programme Document "Regional Cooperation" Outcome: Objectives, Components and Linkages*

With the aim of supporting the achievement of GoK development priorities and the realization of the SDGs, the United Nations Development Programme Kazakhstan Country Office (KZ CO) launched its 2016-2020 Country Programme (CP) in 2016. The CP builds on the Government's *Strategy 2050* and its other medium- and longer-term development plans; the 2016-2020 UNPFD for Kazakhstan, as well as the Agenda 2030 and other international conventions and commitments of Kazakhstan.

The 2016-2020 Country Programme Document (CPD) presents the programming framework for the UNDP KZ CO for this period. It was formulated on the basis of consultations with the Government of Kazakhstan and other national and international development partners and

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[18] The country's economic growth slowed from 6.0% in 2013 to 4.2% in 2014, and in 2015 it fell further to 1.2%: Borghis, p. 32.

[19] UNDP 2016-2020 Country Programme Document, p. 3

[20] UNDP, *Human Development Indices and Indicators: 2018 Statistical Update:* http://www.hdr.undp.org/en/countries/profiles/KAZ

[21] Op. cit., Briefing Note, p. 5

[22] Op. cit., Briefing Note, Table H, p. 7

[23] World Bank, *Net official development assistance and official aid received:* https://data.worldbank.org/indicator/DT.ODA.ALLD.CD?end=2016&locations=KZ&start=1991&view=chart

stakeholders. It outlines how UNDP will contribute to Kazakhstan's development priorities and results in four areas: sustainable growth through income diversification, natural resource management and resilient communities; reducing inequalities; effective governance and public service delivery; and regional cooperation and development.

This evaluation focuses upon CPD Outcome 3.1, "Regional Cooperation", the stated target of which is "*By 2020, KAZAID/ODA functioning and well recognized by international community and the UN, and regional cooperation hubs demonstrated success in East-East/South-South cooperation".*   The Regional Cooperation Outcome aligns with the UNPDF Outcome 3.1, "The *Government, together with partners, promotes the achievement of Sustainable Development Goals (SDGs) in the region and leads in promoting and implementing United Nations principles, standards and Conventions".* Beyond UNDP, sixteen other agencies in the Kazakhstan UNCT also contribute to the UNPDF Regional Cooperation outcome.[24]

1.2.1 *Outcome Components.* The UNDP Regional Cooperation Outcome includes three interlinked outputs related to regional and international cooperation, including South-South and Triangular Cooperation, through which the UNDP can support Kazakhstan's aim to strengthen its position as an emerging donor:

- Output 1. The national ODA Agency (KAZAID) is established and well- functioning
- Output.2. The Regional Hub of Civil Service in Astana providing strategic knowledge and innovative solutions globally contributing to effective South-South and triangular cooperation
- Output 3: Regional and international development initiatives in place and functioning, supporting the positioning of Kazakhstan as an upper MIC country and its emerging leadership role at the regional level

At mid-point in the 2016-2020 CP cycle, three projects have been implemented under Outputs 1 and 2; interventions under Output 3 are planned for 2019[25].

The two interventions which have been implemented under Output 1, the Outcome's ODA component, are:

- *Expert support for the establishment of a national ODA system in Kazakhstan* (The *KAZ ODA* project), through which UNDP provided policy advice, technical assistance and capacity building towards the establishment of Kazakhstan's ODA agency
- *Promoting Kazakhstan's Official Development Assistance Cooperation with Afghanistan* (*the Afghanistan Project),* an SSTC pilot through which UNDP provided technical advice and expertise to build the capacity of Government staff in advance of the establishment of the KAZ ODA entity, and to jointly implement a project to build the capacity of Afghan women civil servants

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[24]These agencies are IOM, UNDPI, UNECE, UNEP, UNESCAP, UNESCO, UNFPA, UNHCR, UNICEF, UNISDR, UNOCHA, UNODC, UNOPS, UNRCCA, UN Women and WHO: *2016-2020 UNPDF*, p. 103.

[25]Additionally, interventions which contribute to this Output, but which have been implemented through other UNDP portfolios, include the Kazakhstan-Africa Partnership for the SDGs, a US $2,000,000 intervention supporting the domestication of the SDGs in 45 African countries, which was implemented from 2015-2017 through the UNDP Regional Bureau for Africa: http://www.undp.org/content/undp/en/home/presscenter/pressreleases/2015/09/28/undp-government-of-kazakhstan-to-help-45-countries-in-africa-prepare-for-implementing-the-sdgs.html .

The following project is being implemented under Output 2:

- *Institutional Support to the Regional Hub for Civil Service in Astana* (the Hub Support project), through which UNDP provides technical assistance to support national and regional civil service reform processes through research, knowledge management, capacity building and South-South/East-East partnerships[26]

The Regional Cooperation Outcome thus aims for policy, institutional and individual capacity development results.

1.2.2 *Financing.* The total funding originally estimated for this Outcome was US $14,700,000[27]. Of this amount, the HUB Support project is supported through cost-sharing arrangement with the GoK, which provided $14,000,000[28]; UNDP's financial contribution to this project is $50,000, for a total project funding of $14,050,000.

The original budget for the Afghanistan project was $410,000.00, of which $300,000.00 was to come from the UNDP-Japan Government Partnership Fund through JICA and the Embassy of Japan in Kazakhstan, with a further $110,000.00 from UNDP parallel funding. There were also in-kind contributions from the Government of Kazakhstan. The final project budget was $300,000.00, all of which came from the UNDP-Japan Government Partnership Fund.

The KAZ ODA component of the Outcome was supported through cost sharing with the GoK, which provided $200,000. UNDP's contribution was $40,000, for a total project funding of $240,000.00.

The UNDP KZ CO operates under the National Implementation Modality (NIM) for this Outcome, as it does for its entire CP portfolio.

1.2.3 *Outcome Linkages.* The Regional Cooperation Outcome builds on Kazakhstan's current international and national strategies and priorities. It is linked to several Gok policy frameworks, including:

- The *Kazakhstan Strategy 2050* outcome for, *"A country that is open to the rest of the world and ready to work with its neighbours to contribute to the solution of global challenges"*
- The *Foreign Policy Concept for 2014-2020 Republic of Kazakhstan[29]*
- Kazakhstan's ODA-related legislation, including the 2014 ODA law and the 2016-2020 midterm strategy for ODA
- The 1999 Civil Service Act and the new Civil Service Act of 2015
- The 2006-2016 Strategy for Gender Equality in the Republic of Kazakhstan

Its links to UN policy and programming frameworks include

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[26]Detailed information on the Hub's activities and partners is available on its website: *http://www.astanacivilservicehub.org/about/mission-goal-and-objectives*

[27] United Nations Development Programme, *Country Programme Document for Kazakhstan 2016-2020* (hereafter 2016-2020 CPD), 2015, Results and Resources Framework, pp. 14-15

[28] The original funding estimate was $11,000,000: *UNDP CPD,* RRF, p.15

[29] http://mfa.gov.kz/en/content-view/kontseptsiya-vneshnoi-politiki-rk-na-2014-2020-gg

- UNPDF Outcome 3.1, "*The Government, together with partners, promotes the achievement of sustainable development goals in the region, and leads in promotion and implementation of United Nations principles, standards and conventions.*"
- The UNDP global *Strategic Plan 2014-2017*, particularly to Output 7.5 on *South-South and triangular cooperation, and* to Output 4 on gender equality.
- The UNDP global *Strategic Plan 2018-2021*, particularly to
- The UNDP global strategy on South-South and Triangular Cooperation[30]

In addition, the Outcome's aims and objectives align with the Sustainable Development Goals, particularly Goals 1, 5, 16 and 17:

- SDG Goal 1, *End poverty in all its forms everywhere,* and particularly sub-Goal 1b, create *sound policy frameworks, at the regional and international levels, based on pro-poor and gender-sensitive development strategies to support accelerate investments in poverty eradication actions;*

- SDG Goal 5, *Achieve gender equality and empower all women and girls,* and particularly sub-Goal 5.5, *Ensure women's full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic and public life,* and sub-Goal 5.a, "*Undertake reforms to give women equal rights to economic resources, as well as access to ownership and control over land and other forms of property, financial services, inheritance and natural resources in accordance with national laws;*

- SDG Goal 16, Promote *peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels*

- SDG Goal 17, *Strengthen the means of implementation and revitalize the global partnership for sustainable development,* and particularly sub-Goal 17.3, *Mobilize additional financial resources for developing countries from multiple sources;* and sub-Goal 17.9, *Enhance international support for implementing effective and targeted capacity building in developing countries to support national plans to implement all sustainable development goals, including through North-South, South-South and triangular cooperation.*

1.2.4 *Outcome Partners.* UNDP's primary national partners for the Regional Cooperation Outcome are the Ministry of Foreign Affairs (MFA), particularly its Foreign Economic Policy Department (FEPD), and the Agency of Civil Service Affairs and Anti-Corruption (ACSAC). Other development partners for activities under this outcome include the Nazarbayev University; the Kazakhstan Ministries of Education and Sciences and of Healthcare and Social Development; the Academy of Public Administration; the Government of Japan through its Embassy in Astana; the Japan International Cooperation Agency (JICA); USAID; the Ministry of Foreign Affairs for the Government of the Islamic Republic of Afghanistan (MFA GIRA); the Afghanistan Ministry of Womens Affairs (MOWA) and the UNDP CO Afghanistan.

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[30] UNDP, *Accelerating Sustainable Development: South-South and Triangular Cooperation to Achieve the SDGs. A UNDP Strategy*, New York, 20 July 2016

2   The UNDP Kazakhstan CPD "Regional Cooperation" Outcome Evaluation

2.1 *Evaluation objectives and scope*. The evaluation has been commissioned by the UNDP Kazakhstan Country Office (UNDP KZ CO). The objective of this assignment was to conduct an independent evaluation of the UNDP 2016-2020 CPD Outcome on "Regional Cooperation", based on the detailed terms of reference (TOR) presented in **Annex 1**. The evaluation considered the Outcome's continued relevance as well as its achievements against planned results; efficiency; the sustainability of its results; its effectiveness as a coordination and partnership framework and as a resource mobilization mechanism. UNDP also requested that the evaluation use gender as an additional criterium to determine the extent to which gender equality and women's empowerment (GEWE) has been integrated into the Outcome.

This Outcome evaluation was scheduled at the mid-point of the 2016-2020 UNDP Kazakhstan Country Programme in order to inform further programming in the area of regional cooperation for the remainder of the current CP period and in the next CP cycle (2020-2024).

While it is premature to assess the impact[31] of the Outcome's interventions, the evaluation does note emerging outcomes; and it presents strategic, forward-looking recommendations for future UNDP programming in Kazakhstan.

The primary audiences for whom the evaluation is intended are UNDP and its national partners, as well as international development partners (DPs) and stakeholders.

In addition to this evaluation, an external mid-term evaluation (MTE) of the Outcome's Hub Support component was conducted in 2016[32]. The other two activities under this Outcome, the KAZ ODA and Afghanistan projects, were reviewed internally on an annual basis, although neither had been independently evaluated since they were completed in, respectively, June 2017 and June 2018. Summary assessments of both projects were therefore undertaken by this evaluator in order to provide an evidence base for assessment of the Outcome's current progress against plan (see below, **Annex 6, "Assessment of the KAZ ODA Project Assessment"** and **Annex 7, "Assessment of the Afghanistan Project"**).

2.2 *Evaluation Methodologies and Approach.* The evaluation has followed OECD/DAC evaluation criteria for relevance, efficiency, effectiveness and sustainability; and it complies with the United Nations Evaluation Group's *Ethical Guidelines for Evaluation[33]* principles, as well as with its guidance on *Integrating Human Rights and Gender Equality in Evaluations.*

The evaluation has employed a mixed methodological approach, including a document review; semi-structured, qualitative Key Informant Interviews (KII) and Focus Group Discussions (FGDs).   The assignment included a five-day field trip to Astana which allowed the evaluator to interview key UNDP and national stakeholders in person, and to present her preliminary findings in-house to UNDP. A

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[31] In this evaluation, impact is defined as "...an actual or intended change in human development as measured by people's well-being. An impact generally captures change in people's lives. It represents underlying goals such as better living conditions, through improvements in health, income, education, nutrition, or the environment."
United Nations Development Programme, *Measuring Capacity,* New York, June 2010, p. 4.

[32] Rava, Nenad, *Medium Term Evaluation of the Project Institutional Support to the Regional Hub of Civil Service in Astana*, December 2016.

[33] United Nations Evaluation Group, *Ethical Guidelines for Evaluation-Foundation Document,,* New York, 2008: www.uneval.org/document/download/548

stakeholder validation of the draft report is also planned.   This approach allows for the triangulation of both qualitative and quantitative data.

The materials used in the evaluator's desk review are presented below in **Annex 2, "List of Documents Consulted".**   The evaluation schedule is presented in **Annex 3.**

As the evaluation timeframe did not allow for field missions beyond Astana, stakeholders based outside of the city were interviewed by remote, by Skype, telephone and email.   Respondents included UN agencies' representatives, government officials and international stakeholders and donors, as well as select project beneficiaries (see below, Annex **4, "List of Persons Interviewed").**

A systematic purposive sampling approach has been employed for the selection of those interviewed. The selection was based on the mapping of stakeholders undertaken at the start of the evaluation by the consultant, and it is reflected in the framework for questionnaires presented in **Annex 5, "Frameworks for Questionnaires"**, below.   This selection was further refined during the course of the evaluation, according to respondents' accessibility and availability during the data collection phase.

Evaluation Report Structure.   The evaluation report includes an executive summary and an introductory chapter noting the rationale for the Regional Cooperation Outcome and its objectives, linkages and components.   The scope, objectives, methodologies and limitations of the evaluation are presented in Chapter 2. The Evaluation Findings are presented in Chapter 3, according to the evaluation criteria of relevance, efficiency, effectiveness, sustainability and gender.   Chapters 4 and 5, respectively, present the evaluation's conclusions and recommendations.

UNDP support to the evaluation. UNDP assisted in the provision of programme-related documentation to the evaluator, and in the facilitation of meetings with key UN staff, local stakeholders and beneficiary communities. UNDP also supported   the evaluator's travel for the Astana field trip.
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2.3 *Evaluation Ethics, Gender and Human Rights.* To ensure an inclusive, participatory, human rights-based approach, the evaluation involved both duty bearers as well as rights holders.   Moreover, the evaluation adhered to the United Nations Evaluation Group's *Norms and Standards[34];* its *Ethical Guidelines for Evaluation[35]* principles and its guidance on *Integrating Human Rights and Gender Equality in Evaluations[36].*   Furthermore, all interviews were prefaced with an explanation of the objective of the evaluation and how information from the interviews would be used. All respondents were also assured of anonymity.

2.4 *Evaluation Constraints.* Evaluation constraints include its short timeframe[37], which curtailed some of its planned interviews and FGDs[38], as well as other data collection. In addition, the turnover of staff at

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[34] United   Nations   Evaluation   Group,   *Norms   and   Standards   for   Evaluation,*   New   York,   2016: http://www.unevaluation.org/document/detail/1914
[35] United Nations Evaluation Group, *Ethical Guidelines for Evaluation-Foundation Document,* New York, 2008: www.uneval.org/document/download/548
[36] United Nations Evaluation Group, *Integrating Human Rights and Gender Equality in Evaluations-Guidance Document, New York,* August 2014: www.uneval.org/document/download/1294
[37] The timeframe for the evaluation was 23 working days.
[38] For example, a FGD with Afghan scholarship holders at the Academy which had been planned with the Director of the Academy.

both UNDP and at partner organizations hampered the collection of background information on the formulation of the Outcome, as well as on the implementation phases of its KAZ ODA and Afghanistan projects, which were closed before this evaluation.

The absence of theories of change (ToC) for the Outcome's projects[39] hinders the measurement of their results. Moreover, none of the three Outcome projects have any metric for assessing post-training performance or other intended development changes, either at the individual or institutional levels; and the lack of post-training follow up by UNDP of any of the projects' beneficiaries also has hampered the evaluation's assessment of the Outcome's results[40].

Finally, the direct attribution of the Outcome's activities to the capacity development of its participants or their institutions is problematic, as both individuals and beneficiary institutions have had various other professional development trainings before, and perhaps after, those offered through this Outcome. The assessment of results is therefore based on contribution analysis[41] .

3 EVALUATION FINDINGS

3.1 *Relevance[42]*

3.1.1   *Outcome Design and Themes*. The Outcome's design features three inter-linked outputs and a range of activities, each of which is relevant to regional cooperation. The three outputs were intended to be synergistic; and there have been several complementary interactions between the Outcome's ODA and Hub components[43].

The Outcome's most visible cross-cutting issues are capacity building and partnership, and these are discussed below, under 3.2, "Effectiveness".   Gender has been less well integrated, and GEWE is referenced only in the Afghanistan project.

3.1.2 *Relevance of the Outcome.* The Outcome's relevance is closely linked to its alignment with the national development priorities and policies presented in the Government's *Strategy Kazakhstan 2050*, its *Foreign Policy Concept for 2014-2020,* its ODA-related legislation, including the 2014 ODA law and the

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[39] The projects were formulated prior to the July 2016 requirement that all interventions have a ToC.

[40] UNDP distributed a feedback and self-assessment form to participants in the Afghanistan project immediately after the wrap up of each of the two seminars, but no further feedback, follow up or tracer activity was conducted. The post-training "survey" referenced in the 2017 ROAR actually refers to the feedback and self-assessment form given by UNDP to participants immediately after the completion of the seminars: 2017 ROAR, p.

[41] *"Contribution Analysis …offers an approach designed to reduce uncertainty about the contribution (an) intervention is making to the observed results through an increased understanding of why the observed results have occurred (or not!) and the roles played by the intervention and other internal and external factors…Contribution analysis ….helps to confirm or revise a theory of change…(and to provide) evidence (for) a plausible conclusion that, within some level of confidence, (a) program has made an important contribution to the documented results."* https://www.betterevaluation.org/en/plan/approach/contribution_analysis

[42] Relevance refers to ". the extent to which the aid activity is suited to the priorities and policies of the target group, recipient and donor".: *DAC Criteria for Evaluating Development Assistance*

[43] For example, the KAZ ODA project provided contextual information on Afghanistan and its development partners to the Afghanistan project staff in advance of their scoping mission to the country; and representatives from the Hub Support project contributed to the Astana capacity building workshops for Afghan civil servants for the Afghanistan project.

2017 midterm ODA strategies, and the Civil Service Acts of 1999 and 2015, among others.   The Outcome is therefore highly relevant to and explicitly supports Kazakhstan's current foreign policy goals, including its intention to become an OECD member state and its intention, at the time of the Outcome's formulation, to attain UNSC membership.[44]

The Outcome also aligns with UN strategies and programming frameworks, including the 2016-2020 UNPFD, the current UNDP *Strategic Plan* (see above pp.); and the UNDP strategy on SSTC.   Although designed prior to the launch of the international 2030 Agenda, it nonetheless supports SDG themes, particularly for Goals 1 on poverty eradication, 5 on gender equality, 16 on accountable institutions, and 17 on the global partnership for sustainable development.

The overall theme of the Regional Cooperation Outcome is thus relevant to UNDP strategies and programming frameworks, as well as to the Kazakhstan context and to the Outcome's intended beneficiaries.

3.1.2 *Post-Design Issues*.   Since the Regional Cooperation Outcome was formulated in 2015, the international 2030 Agenda has been introduced; and innovative solutions for SDG financing and achievement, including "Southern" solutions, have been developed and/or applied.   These include Islamic financing instruments such as *sukuk* and *zakat,* as well as innovation labs and other kinds of platforms for SDG partnerships which have been developed in the global South – including in the CIS[45] – and which are additional vehicles through which Kazakhstan can contribute to and benefit from SS and SSTC.   These are also areas in which UNDP has demonstrated experience and expertise.   It is therefore appropriate to integrate them more visibly in the Outcome's future programming in order to enhance its relevance to the current global development agenda, as well as to Kazakhstan's intentional regional positioning[46].   Some of these "Southern" solutions already feature in the Hub project; and some are also anticipated in the Regional Cooperation Outcome's third Output.

3.2   *Effectiveness[47]*

The Outcome's progress towards expected results are summarized below in Table 1.

Table 1
Summary of Regional Outcome Progress by Output Area

Outputs	Output Indicator	Indicator Progress as of October 2018[48]
Output 1. The national ODA Agency (KAZAID) is established and well- functioning	**Indicator 1.1**: Availability and implementation of approved rules and	This Output includes the KAZ ODA project and the Afghanistan project.[49] Output progress towards

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[44] Kazakhstan has since become a non-permanent member of the UNSC.

[45] For example, the Armenia National SDG Innovation Lab, which focuses upon impact investment, capacity building, data analytics and behavioural science service lines: http://sdginnovationlab.am/impact/

[46] For example, the 'green sukuk' in Indonesia and in Malaysia. UNDP is also a partner in the Armenia National SDG Innovation Lab; and it has wide experience globally in the development and support of government innovation labs.

[47] Effectiveness is defined as "…the extent to which an aid activity achieves its objectives.": *DAC Criteria for Evaluating Development Assistance.*

[48] Noting that the current CP cycle end date is December 2020

[49] A third activity for the development of pilot triangular projects, which was included in the KAZ ODA project document[49], did not appear in the project's subsequent AWPs.

	regulations for sustainable operation of Kaz Aid as an ODA Agency **Baseline:** Rules and regulations not in place **Target**: Rules and regulations developed and implemented; **Indicator 1.2** Effective mechanisms in place to access, deliver, monitor, report on an verify use of KazAid ODA funding **Baseline**: 0 **Target**: 3 (M&E system, standard reporting; projects database)	the establishment of the KAZ ODA agency to date has been partially achieved through the development of foundational legal and strategic documents, one of which, the *Midterm Strategy on ODA for 2016-2020* which was endorsed by the GoK in 2017'[50]. Tools and training for M&E and a communications strategy were produced; preliminary work on a project database was undertaken. In addition, ODA-related partnership brokerage and capacity building was faciliated by UNDP for MFA staff through workshops, seminars, study tours and «learning by doing» project management experience, including the implementation of two capacity building workshops for Afghan civil servants in Astana
Output.2. Regional Hub of Civil Service in Astana providing strategic knowledge and innovative solutions globally contributing to effective South-South and triangular cooperation	**Indicator 2.1** Number of Hub participating countries actively implementing joint, innovative solutions for civil service development Baseline: 30 participating countries; 6 active; Target: 20 active; 10 new participating countries **Indicator 2.2** Number of innovative capacity development interventions and joint researches conducted by or through the Hub Baseline: 6 publications; 2 capacity development trainings; : at least 30 publications in different formats; at least 50 trainings and innovation labs.	Output progress for the Hub Support Project to date includes achievement of the target of 40 participating countries. The project is on track to meet its publications, trainings and innovation labs target. Additional achievements include support to the ACSAC "Common Competencies Framework" and "Point and Scale Grading System for Position Classification and Determination of Pay Scales" projects, with related staff capacity building

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[50] Decree of the President of the Republic of Kazakhstan "On Approval of the Main Directions of the State Policy of the Republic of Kazakhstan in the Field of ODA for 2016-2020". http://adilet.zan.kz/rus/docs/U1700000415

Output 3: Regional and international development initiatives in place and functioning, supporting the positioning of Kazakhstan as an upper MIC country and its emerging leadership role at the regional level	**Indicator 3.1** Number of organizations and people participating in dialogues on the post-2015 agenda and sustainable development goals (SDG) (disaggregated by type of organization) <u>Baseline:</u> 3 platforms; 500 people. **Target**: at least 30 organizations/platforms; at least 100,000 people **Indicator 3.2:** Number of advocacy initiatives by Kazakhstan on SDGs and other priorities, supported by the international community **Baseline:** about 3 initiatives/international agreements; **Target:** at least 10 initiatives supported by countries :	Activities under this Output are planned for 2019

Additional details on the effectiveness of the projects in the Outcome's ODA output, that is, for the KAZ ODA and the Afghanistan projects, are presented in "**Annex 6"** and "**Annex 7",** respectively, below.

3.2.1   *Outcome progress against plan.*   UNDP's high-level technical expertise and international convening power have been well-demonstrated in the Outcome. The Outcome has also been highly effective as a platform for regional and international partnership brokerage through each of its interventions (see below, **Annexes 6** and **7,** on assessments of the KAZ ODA and Afghanistan projects, respectively); and through the Outcome's Hub Support Project, UNDP has strategically further strengthened its position as a broker of development solutions.

 3.2.1.1   *The Hub Support Output.*   Overall, the Hub Support output has delivered its expected results to date and, in some instances, exceeded them. For example, a notable result of this output has been the successful brokerage and maintenance of partnerships to build a global network of participants including over 40 countries; and it has achieved this primarily by leveraging UNDP's global network. Moreover, SSTC intervention respondents, including academic partners and civil servant beneficiaries, also expressed their satisfaction with the level of service provided by UNDP, particularly in regard to event management and in its support to the generation of knowledge management products. The Hub output has also progressed towards its expected result of capacitating HUB staff: for example, although UNDP managed the procurement and contracting of external management consultancy firms for the pay scale and competencies framework projects, HUB respondents felt that their abilities to initiate and manage similar tasks were now sufficient to do so – if the Hub were a legal entity that could engage in contracting processes.

UNDP's effective expert support to the Hub (the Hub Support project) is essential for the Hub's ongoing activities: as the Hub is a project and not a legal entity, it cannot enter into contractual agreements. The GoK funding for the Hub is therefore passed through UNDP, and all contracts, including procurements, are arranged and managed by UNDP. UNDP also provides quality assurance of Hub activities and

products; facilitates forums, training sessions and other kinds of capacity building exercises, among others; and it handles the necessary financial arrangements for participants in Hub events. The UNDP PIU at the ACSAC also liaises between Hub participants and the Hub project staff.

3.2.1.2   *The ODA Output*.   Under this output, which includes the KAZ ODA and Afghanistan projects, UNDP KZ CO has strengthened its alliances with UNDP COs in Tajikistan and Kyrgyzstan; and it has developed constructive relationships with the UNDP Afghanistan CO, the GIRA MFA and MoWA and the Kazakhstan facilitating/implementing partners, in addition to its existing partnerships with the KZ MFA and JICA.   The initial contacts between UNDP KZ and the Government of the Islamic Republic of Afghanistan (GIRA) MoWA and other Afghanistan government bodies also offer a basis for future collaborations. However, as a GIRA protocol requires that trainings of less than one year offered to Afghan civil servants should be reviewed through the Civil Service Institute (CSI) to determine whether such trainings can be credited for career progression, as well as to confirm that the proposed training is relevant to Afghanistan's civil service reform process, the CSI would be a key local partner to include any future short-term capacity building sessions.

One of the most visible outputs of the ODA output has been the midterm strategy on the main directions for Kazakhstan's policy on ODA for 2016-2020 which was prepared in 2016 by the UNDP Istanbul Regional Hub ODA expert and which was adopted as a presidential decree in January 2017.[51]   However, although there were many other strategic documents drafted, as well as extensive capacity building provided to MFA/FEPD/ODA staff, the Output has not yet achieved its target, which was the establishment of the KAZ ODA agency.

A key challenge to the achievement of the ODA output's expected result was that the finalization and implementation of its draft foundational legal and operational documents were contingent upon Government approval of the legislation to establish the ODA entity. This legislation has not yet been enacted, and the 2015-2018 Government freeze on new programmes, as well as insufficient national consensus for the ODA agency, have been factors contributing to that. Additional details on the output of the KAZ ODA and Afghanistan projects are presented below in **Annex 6** and **Annex 7,** respectively, below**.**

3.2.2   *Capacity Building.*   While there is anecdotal evidence that the trainings provided through the Outcome strengthened the skills of its beneficiaries, there is no documentation, either post-training follow up or client satisfaction surveys which has been collected by UNDP for any of the Outcome's capacity building activities, and which would provide an evidence base to assess their results and UNDP's contribution to them. An evaluation of the entire Astana Hub Project, which is beyond this evaluation's assessment of UNDP's expert support to the Hub, and which is planned for 2019, should consider this. There is anecdotal evidence that the professional skill sets of the MFA/FEPD staff were strengthened by the training provided through the ODA Output[52].   However, there was no institutional capacity or functional assessment of MFA/FEPD staff undertaken by UNDP at the beginning of the KAZ ODA project which would have provided a baseline for the degree to which staff capacities and competencies were increased, although such an assessment was envisaged[53]. It is therefore difficult to qualify the extent to

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[51]Decree of the President of the Republic of Kazakhstan "On Approval of the Main Directions of the State Policy of the Republic of Kazakhstan in the Field of ODA for 2016-2020". http://adilet.zan.kz/rus/docs/U1700000415
[52] KII with DP.
[53] One of the activities in the project's 2014-2015 AWP is an "institutional capacity assessment/gap analysis to help identify already existing capacities and strengths…": UNDP Kazakhstan project document, 2014, p. 5

which training sessions strengthened either individual competencies or MFA's institutional capacity. Moreover, the evaluator was informed that all of the MFA/FEPD staff who participated in the ODA-related trainings, except for the current FEPD director, have since been rotated to postings outside of Kazakhstan; and, in the absence of capacitated staff, it is unclear what mechanisms for skills and knowledge transfer exist within the MFA/FEPD, beyond the ODA themed manuals and other tools prepared by UNDP.

3.3   *Efficiency*[54]

3.3.1   *Financing.* The Outcome has proven highly efficient as a platform for resource mobilization. The GoK has demonstrated strong national ownership of the Outcome's activities by sharing over 90% of the costs for the Astana Hub project, as well as 75% of costs for the KAZ ODA project, with UNDP. The Government also provided an in-kind contribution to the Afghanistan project.

However, both the ODA and Astana Hub projects were designed and received pledged GoK support prior to the Government's 2015-2018 freeze on new programmes; and the GoK contribution to the Afghanistan project, which was launched in 2016, was in-kind rather than financial. The extent to which the Government will cost-share future programmes is not guaranteed, and UNDP will require a wider resource base to reliably finance additional Outcome activities. As UNDP has demonstrated expertise and experience in utilizing various innovative financing modalities for development in other countries, exploration of new funding modalities which are appropriate to the Kazakhstan context could also prove productive for the UNDP KZ CO.

3.3.2   Project Management Costs. Day to day project management for each of the Outcome projects was handled through Project Implementation Units (PIUs); the KAZ ODA PIU was referred to as a Secretariat. The KAZ ODA and Afghanistan projects' PIUs included a project manager and project assistant as well as national and international experts as needed; the Hub support project, which is considerably larger, has a PIU with x staff. For small projects like the ODA interventions, PIUs are not cost-efficient, as they also entail rental costs[55] and, often, administrative expenses; and the secondment of agency staff to national institutions for joint projects or capacity building does not involve these costs. Although the PIUs for both ODA projects were closed upon project completion, UNDP has seconded a Project Assistant to continue to work in the MFA with FEPD staff on ODA matters. This is a cost-effective way of continuing to support MFA with its ODA responsibilities, as well as to maintain the visibility of UNDP's partnership with the Ministry, until the time that the enabling legislation for the KAZ ODA agency is approved.

3.3.3   *Timeliness of Output Delivery.* Overall, the delivery of most of the Outcome's planned outputs has been timely.   However, at midpoint in the CP cycle, the expected result of its ODA component, the establishment of the KAZ ODA agency, has not yet been realized; and the KAZ ODA project required two one year no-cost extensions to deliver several of its other outputs.   As noted above, a key challenge to the full achievement of the ODA Component's expected results was that many were contingent upon Government approval of the legislation to establish the ODA entity; and this legislation has not yet been enacted.

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[54] In development programming, efficiency refers to the extent to which an aid activity has used "…the least costly resources in order to achieve the desired results.": *DAC Criteria for Evaluating Development Assistance.*
[55] The annual rent for the Afghanistan project PIU at MFA was $12,000.00

3.3.4 *Monitoring and Evaluation*. The progress reports produced for each of the Outcome projects focus on the delivery of outputs[56], such as the number of capacity building workshops conducted, as well as on financial utilization; and there is a paucity of more substantive information or analysis of emerging outcomes [57] such institutional change or other strategic issues. It is therefore difficult to quantify or to qualify many of the results that are anecdotally attributed to the Outcome, including the extent to which it has contributed to Kazakhstan's development priorities.   To some extent, the dearth of outcome reporting under the Regional Cooperation Outcome may be due to the terminology used in project reporting templates. However, insufficient project outcome reporting has been noted as an issue in at least one other CPD Outcome evaluation as well as in the 2018 UNPDF MTE[58], and this indicates that the RBM and M&E skills of the project report writers require strengthening.

Finally, due to the lack of any post-training follow up of participants in any of the Outcome's projects, additional information which would allow an evidence-based assessment of their contributions to women's empowerment, individual skill sets and/or institutional capacity development, w neither post-training follow up activities included in their designs, workplans or budgets.   Consequently, the Outcome's actual progress against plan to date may be under-reported.

3.4 *Sustainability*[59].

The institutionalization of a key Outcome product, the *Midterm Strategy on ODA 2016-2020,* through the ODA output, and the production and dissemination of knowledge management products in various formats through the Hub Support project, are positive indicators for the sustainability of the Outcome's results to date. As also noted above, in anticipation of the establishment of an ODA agency, UNDP has undertaken extensive capacity building of MFA/FEPD staff, as well as of staff from other ministries involved in ODA-related activities. However, institutional capacity building can be achieved and sustained only through retention of the capacitated staff, and/or if their skills are transferred to other staff. In the ODA component, the MFA/FEDP staff who received ODA training have since been rotated to postings outside of Kazakhstan (see below, **Annex 6, "KAZ ODA Project",** for additional details); and for the Hub Support project, as yet no tracer study which could demonstrate the institutionalization of trainee skills has been undertaken. Therefore, although there is anecdotal evidence that the Outcome's capacity building interventions strengthened individuals' skills, there is no evidence base for this as yet.

In the absence of a dedicated ODA agency with staff who are not subject to external rotation, this type of ODA capacity building by UNDP for   MFA at the FEPD level is unsustainable**;** and this poses a risk to the sustainability of the results to date to which the Outcome has contributed**.**   Secondment of a UNDP Project Assistant to the FEPD (see above, "Efficiency") is a more cost-efficient capacity building option.

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[56] *Output* is defined as "A short-term development result produced by project and non-project activities; it is generally a product and/or service that makes achievement of outcomes possible, and is measured by change across four core issues (institutional arrangements, leadership, knowledge and accountability)": UNDP, *Measuring Capacity*, p. 32.

[57] *Outcome* is defined as "An actual or intended change in development conditions that interventions are seeking to support. It usually relates to changes in an institution's ability to work better and fulfil its mandate, and is measured by change in institutional performance, stability and adaptability": UNDP, *Measuring Capacity*, p. 32.

[58] 2018 UNPDF MTE, p. 35

[59] Sustainability refers to the extent to which the positive results of an intervention are likely to be maintained by local actors after donor funding has ceased

3.4.2   *Institutionalization* of the Hub is one of the aims of the current Project. The current financing model for the Hub, which receives over 95% of its support from the GoK, is not sustainable; and other funding modalities are now under consideration. One of the options suggested involves   transitioning the Project Board into a legal entity, which would still allow continued funding, oversight and quality control through UNDP.[60] Various forms of SSTC, funded by donors other than the GoK, could support this, for example, initiatives involving technical advice from Kazakhstan subject experts; or capacity building programmes provided by the HUB for public servants from LICs which would be funded by donors other than the GoK. The Hub already has experience in implementing these kinds of programmes.

3.5 *GEWE*

Gender has been incompletely integrated into the Outcome. Although the Afghanistan project reports do differentiate the numbers of its beneficiaries by gender, none of the Outcome activities include gender disaggregated baselines or other data which would allow an evidence-based assessment of the Outcome's contribution to GEWE in the public sector either in Kazakhstan or in any of the other countries which have benefitted from the Outcome's activities. Moreover, the project managers for each of the Outcome's interventions are/have been male.

4.   CONCLUSIONS

The evaluation findings and its conclusions are summarized below.

4.1 *Relevance.*   The Outcome aligns with the *2050 Kazakhstan Strategy,* UNDP strategies and programming frameworks and several SDGs. Since the Outcome was formulated and the international 2030 Agenda was launched in 2015, innovative solutions for SDG financing and achievement, including "Southern" SDG solutions, have been developed and/or applied. It will be key to reference these solutions in future Outcome programming in order to increase its relevance to the current global development agenda as well as to support Kazakhstan's intentional regional leadership role.

4.2 *Effectiveness*.   Although the Outcome has been highly effective as a platform for regional and international partnership brokerage, and its Hub support output is on track to achieve many of its planned targets, the expected result of the ODA output, the establishment of a KAZ ODA agency, has not yet been achieved. A key challenge has been that its realization is contingent upon Government approval of the legislation which would establish the ODA entity; and this legislation has not yet been enacted.   In order to more effectively and strategically influence ODA policies at the national level, including building greater national consensus for the establishment of an ODA agency, UNDP must increase its coordination with ODA-relevant GoK stakeholders beyond the MFA/FEPD/ODA.

 Finally, although extensive capacity building activities have been conducted under each the Outcome's interventions, and there is anecdotal evidence that the professional skills of the Hub and MFA staff and other Outcome beneficiaries have been strengthened by them, an evidence-based assessment of the extent to which these trainings   contributed to women's empowerment, individual skill sets and/or institutional capacity development, was not possible due to the lack of any pre-training baselines or any post-event follow up of those trained; and the Outcome would benefit from inclusion of post-training follow up activities in the design, workplans and budgets of its interventions.

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[60] KII with DP

4.3 *Efficiency.* The Outcome has been highly efficient and effective as a platform for the mobilization of resources. However, UNDP will require a wider resource base, beyond the GoK, for reliable project funding for future programming. As UNDP has demonstrated expertise and experience in utilizing various innovative financing modalities for development in other countries, exploration of new funding modalities which are appropriate to the Kazakhstan context could also prove productive for the UNDP KZ CO. Finally, the outcome level reporting of activities, which is inadequate to quantify or qualify many of the results anecdotally attributed to it, may benefit from the rewording of the project report template as well as the guidance of project reporting staff on M&E requirements.

4.4 *Sustainability:* The institutionalization of some of the Outcome's outputs and the production and dissemination of knowledge management products are positive sustainability indicators. However, the absence of a functional ODA agency with dedicated staff and a KM strategy poses sustainability risks for the ODA-related capacity building provided to the MFA through the Outcome. Nonetheless MFA, as the main implementor of the GoK ODA policies, will remain a key partner of UNDP; and introductory ODA-related training could be offered more broadly to MFA staff as part of their Ministry induction. Finally, the current financing modality for the Hub as a project is not sustainable; and its sustainability is linked to its institutionalization.

5   RECOMMENDATIONS

Recommendations for UNDP to build on the emerging results from the Regional Cooperation Outcome for the remainder of the current CP and beyond are presented below.

Evaluation Criteria	Recommendation
Relevance	Strengthen the relevance of the Outcome by more visibly referencing innovative solutions for SDG financing and achievement, including Southern solutions, in future programming.
Effectiveness	Strengthen the effectiveness of the Outcome in the areas of : **1. Partnership and Coordination** by **Maintaining current national partnerships.** To maintain the visibility of UNDP's partnership with the MFA, continue the secondment of a Project Assistant to the MFA/FEPD as a cost-effective way to work with staff on ODA matters until the KAZ ODA agency is established. Scale up UNDP support after the ODA agency is launched. **Brokering wider strategic partnerships**. In the Outcome's ODA component, UNDP must increase its coordination with GoK stakeholders beyond the MFA/FEPD/ODA unit in order to more effectively and strategically influence ODA policies at the national level, including building national consensus on the establishment of an ODA agency. UNDP should therefore increase its coordination in ODA-related areas with the line ministries with whom its works through its other portfolios, as well as with its ministry partners from the Afghanistan SSTC project. Options to increase ODA-related coordination include the secondment of UNDP staff to selected ministries. UNDP must move beyond having a national partner to having national consensus on the establishment of an ODA agency ; and it must identify other entry points, beyond MFA, as well as champions, for this.

	2. South-South and SSTC **Build on the Afghanistan SSTC pilot project.** Building on the partnerships developed through the Afghanistan project, coordinate and partner with the Afghanistan Civil Service Institute to identify specific areas and sectors where Kazakhstan's experience and expertise can support the national civil service reform priorities, including increasing women's voice and participation in public service ; and formulate interventions accordingly. **Build on the Hub Support Project.** Build on the institutional and country partnerships developed through the Hub Support project to grow the number of SSTC intervenions under this output, both to increase the project's operational financing ; and also to support the GoK's intended regional leadership role.
Efficiency	Strengthen the Outcome's operational efficiency in the areas of **1. Monitoring and evaluation** through **Post-training follow up**. To better document and measure the Outcome's capacity development results, include post-training follow up activities in the design, workplans and budgets of future Outcome projects. **Improved outcome reporting.** To improve outcome reporting, revise the current reporting template to more explicitly differentiate between outputs/activities and outcomes/results ; and provide guidance on M&E requirements to project staff during the project inception phase. **2. Financing** through **Widening UNDP's resource base** To expand UNDP's resource base, undertake a scoping study of the innovative development financing instruments which have proved effective in other MICs, including "Southern" solutions such as Islamic financing modalities, to better identify those which are most feasible within Kazakhstan's current legal frameworks and most appropriate for UNDP as an international development agency, and upon which UNDP can focus its resource mobilization and partnership efforts for the remaining and forthcoming CP cycles. . **Innovative financing workshop.** To further inform and guide Outcome resource mobilization, convene a half day workshop by an accredited authority for UNDP management and staff to provide them with a basic level of understanding on innovative development financing options and how they can support the achievement of the SDGs.
Sustainability	Mitigate sustainability risks by : **1. Re-focusing support to national capacities for ODA management** : In the absence of a functional ODA agency with dedicated staff and a KM strategy, reduce the sustainability risks related to high staff turnover in the MFA/FEPD by providing introductory training on ODA-related topics to MFA staff more broadly, beyond the FEPD, as a part of MFA staff induction. Utilize the FAQs and other tools produced by UNDP for the KAZ ODA project in these trainings. See also above, recommendations for **Efficiency**, "**Maintain current national partnerships**" and "**Broker wider strategic partnerships**". **2. Institutionalizing the Hub Project:** Determine options for transitioning the Hub's Project Board into a legal entity, and its implications for continued funding and project support through

	UNDP; and finalize the most appropriate institutionalization option before the end of the current project cycle in 2020
GEWE	Improve GEWE integration in the Outcome, and strengthen the assessment of UNDP's contribution to GEWE through the Outcome, with **1. Gender-specific baselines, indicators and targets.** Articulate and use gender-specific baselines, targets and SMART indicators in project formulation, implementation and evaluation, including in RRFs, AWPs, reporting templates and other project management tools, in order to better assess Outcome's progress on and contribution to gender equality and women's empowerment. **2. Gender-responsive budgeting in projects.** Use GRB tools to determine and allocate a percentage of projects' budgets to GEWE. **3. Gender parity in project management.** Aim for gender parity on project boards and in project management and support roles.

Annex 1
Terms of Reference

"The government of Kazakhstan, together with partners, assists neighboring countries in achieving Sustainable Development Goals (SDGs), and leads the regional cooperation by promoting United Nations principles, standards and Conventions".

Job Code Title: CPD Outcome Evaluation Consultant
Duty station: Home-based with a mission to Astana
Duration: Up to 23 working days within the period of August – September 2018
                        (one field mission to Kazakhstan, Astana, 5 days)
Type of contract: Individual Contract (IC)
Language required: English, Russian is an asset

1.   BACKGROUND

Kazakhstan has begun actively implementing the global Sustainable Development Goals (SDGs) adopted by 193 UN member states in 2015. The Government is considering a number of approaches to develop and implement a national SDGs Roadmap, including through utilizing the UN Development Group's (UNDG) Mainstreaming, Acceleration, and Policy Support (MAPS) approach[61]. In addition, as an emerging donor and a prominent South-South/West-East cooperation partner, Kazakhstan is also playing an active role in championing the regional and global dialogues on the SDGs and other globally important agendas such as the Paris Agreement on climate change[62]. The international EXPO 2017 'Future Energy' is one of the most prominent thematic international platforms Kazakhstan is offering to the world to support the implementation of the energy-related SDGs.

Kazakhstan is an important leader in the Central Asian region, and a good global citizen. Such good standing in terms of regional cooperation is due to Kazakhstan's activism and leadership in promoting worldwide nuclear non-proliferation and in other efforts to promote peace and stability. Kazakhstan actively contributes to regional and international fora such as the Organization for Security and Cooperation in Europe (OSCE), Organization of Islamic Cooperation (OIC), Eurasian Economic Union (EEU), Shanghai Cooperation Organization (SCO) and others. Kazakhstan's representation as a non-permanent member of the UN Security Council during 2017-2018 will elevate the country's role as a facilitator of the global processes to promote peace, security, human rights and sustainable development agendas.

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[61] MAPS approach consists of the following core elements: mainstreaming (landing the SDGs into national, sub-national and local plans and budgets for development); acceleration (targeting resources at priority areas, considering synergy and trade-offs, bottlenecks); policy support (ensuring that skills and expertise of the UN system are available in efficient and effective ways). MAPS approach is underpinned by partnership development, accountability, and monitoring/data collection and analysis.

[62] The Paris Agreement's central aim is to strengthen the global response to the threat of climate change by keeping a global temperature rise this century well below 2 degrees Celsius above pre-industrial levels and to pursue efforts to limit the temperature increase even further to 1.5 degrees Celsius. Additionally, the agreement aims to strengthen the ability of countries to deal with the impacts of climate change. http://unfccc.int/paris_agreement/items/9485.php

UNDP internalizes the lessons learned from the previous UNDP CPD and UNDAF cycles (2010-2015) and works towards building a next stage of effective partnership arrangements, including through facilitation of national and international dialogues to support the new stage of reforms, as well as supporting policies that aim to address structural impediments. The advancement of the SDGs agenda at local and national levels in line with Kazakhstan strategy remains a focused priority for UNDP's programmes and projects.

Three years of UNDP efforts has culminated in Kazakhstan adopting an enabling legislation to establish the official development assistance (ODA) system, provisionally called KazAid. With the growing role of Kazakhstan as a middle-income country and an active international player, an unprecedented opportunity is presented for UNDP to promote regional cooperation as one of the main priorities in the new country programme cycle. UNDP has worked with key government agencies to introduce a new model of civil service and public administration. As a result, the Regional Hub for Civil Service in Astana was established in 2013 as a platform to exchange knowledge and best practices in civil service modernization among Kazakhstan and other countries in the region. This promises to become one of the country's major platforms for institutionalizing South-South and triangular partnerships.

UNDP is scaling up its fourth, international pillar through two strategic initiatives: KazAid, to support the establishment of Kazakhstan's ODA system, and the Regional Hub of Civil Service in Astana (Hub). The Hub initiative demonstrates scaling up to meet high demand and expectations both domestically and internationally, by delivering concrete results and innovations in research, knowledge management and capacity building. The Hub platform also presents an opportunity to strengthen practical South-South/West-East partnerships and collaborations, especially for SDG 16 (governance and institutions) and SDG 17 (partnerships). The Hub continues strengthening linkages with UNDP global centres and hubs and other similar entities in order to build broad partnerships and synergies. UNDP supports transforming the KazAid concept into practice by providing policy advisory and technical support on ODA establishment and delivery. UNDP is forming tripartite partnerships with the Government of Kazakhstan and well-known experienced ODA Agencies, such as JICA, USAID, and others to deliver practical ODA projects in Central Asian countries, while providing learning-by-doing platforms for the future KAZAID staff. UNDP supports the Government in regional and global dialogues and initiatives on the SDGs, especially on those issues of shared concern such as management of natural resources, building inclusive societies and accountable institutions, and safe and resilient cities and human settlements.

The UNDP Country Office is commissioning an outcome "The government of Kazakhstan, together with partners, assists neighboring countries in achieving Sustainable Development Goals (SDGs), and leads the regional cooperation by promoting United Nations principles, standards and Conventions" (further – Regional Cooperation) evaluation to obtain credential, an evidence-based information on UNDP's contribution to the development results during the 2016-2018 country programme cycle. To achieve the Outcome on Regional Cooperation, the UNDP has focused on enhancing capacities for integrated management of government agencies, private sector, NGOs/CSOs etc.

2. EVALUATION PURPOSE

UNDP in Kazakhstan aims to evaluate its contribution during CPD 2016-2020 cycle to the achievement of the Outcome on International Cooperation and take stock of previous efforts and lessons learnt. An outcome evaluation assesses how and why an outcome is or is not being achieved in Kazakhstan's context and the role UNDP has played. It is also intended to clarify underlying factors affecting the development situation, identify unintended consequences (positive and negative), generate lessons learned and

recommend actions to improve performance in future programming and partnership development. Outcome evaluation also should be able to answer whether UNDP supported the Government of Kazakhstan in meeting the National Strategy of Kazakhstan 2050 and the Sustainable Development Goals. The outcome evaluation will be conducted in 2018 with a view to contributing to the preparation of the new UNDP country programme starting from 2021.

The overall purpose of the outcome evaluation will be to assess how UNDP's programme results contributed, together with the assistance of partners, to a change in development conditions, especially in promoting SSC. The purpose of the proposed evaluation is to measure UNDP's contribution to the outcome outlined above with a view to fine-tune the current UNDP programme, providing the most optimal portfolio balance and structure for the rest of the CPD 2016-2020 as well as informing the next programming cycle.

3. EVALUATION SCOPE AND OBJECTIVES

The evaluation will cover UNDP CPD Outcomes 3.1 under current UN PFD in Kazakhstan for 2016-2020. This outcome evaluation will assess progress towards the outcome, the factors affecting the outcome, key UNDP contributions to outcomes and assess the partnership strategy. The evaluation will also assess the portfolio alignment and its relevance to the UN PFD in Kazakhstan for 2016-2020.

CPD OUTCOME INDICATOR(S), BASELINES, TARGET(S)	INDICATIVE COUNTRY PROGRAMME OUTPUTS *(including indicators, baselines targets)*
Indicator 1 A: Volume of KAZAID and Kazakhstan's bilateral and multilateral support for areas critical to socio-economic human development and security in Central Asia and beyond; regional cooperation mechanisms that promote East-East partnership by thematic areas. **Baseline:** in 2016, nascent state of KAZAID and national ODA system **Target:** By 2020, KAZAID/ODA functioning and well recognized by international community and the UN, and regional cooperation hubs demonstrated success in East-East/South-South cooperation (for example, Regional Hub for Civil Service in Astana);	**Output 1. The national ODA Agency (KAZAID) is established and well- functioning** **Indicator 1.1**: Availability and implementation of approved rules and regulations for sustainable operation of KazAid as an ODA Agency **Baseline:** Rules and regulations not in place; **Target**: Rules and regulations developed and implemented; Source of info: MFA **Indicator 1.2** Effective mechanisms in place to access, deliver, monitor, report on an verify use of KazAid ODA funding Baseline: 0; Target: 3 (M&E system, standard reporting, projects database) Source of info: MFA reports
	Output.2. Regional Hub of Civil Service in Astana providing strategic knowledge and innovative solutions globally contributing to effective SS and triangular cooperation **Indicator 2.1** Number of Hub participating countries actively implementing joint, innovative solutions for civil service development **Baseline**: 30 participating countries; 6 actives;

	Target: 20 actives; 10 new participating countries. Source of info: Regional Hub Website; annual repots **Indicator 2.2** Number of innovative capacity development interventions and joint researches conducted by or through the Hub Baseline: 6 publications; 2 capacity development trainings; Target: at least 30 publications in different formats; at least 50 trainings and innovation labs. Source of info: Hub website, media source, project annual reports.
	Output 3: Regional and international development initiatives in place and functioning, supporting the positioning of Kazakhstan as an upper MIC country and its emerging leadership role at the regional level **Indicator 3.1** Number of organizations and people participating in dialogues on the post-2015 agenda and sustainable development goals (SDG) (disaggregated by type of organization) **Baseline:** 3 platforms; 500 people. Target: at least 30 organizations/platforms; at least 100,000 people Source of info: media sources, UNDP/UN reports **Indicator 3.2:** Number of advocacy initiatives by Kazakhstan on SDGs and other priorities, supported by the international community Baseline: about 3 initiatives/international agreements; Target: at least 10 initiatives supported by countries Source: UN, OECD data, MFA sources

Following projects have been implemented in the period between 2016 and early 2018 within the Regional Cooperation outcome by UNDP CO in Kazakhstan.

Projects implemented during the period 2016 – 2018 (Regional Cooperation Outcome)*:*

#	Title	Period
1	Expert support for the establishment of a national ODA system in Kazakhstan	2014-2016
2	Institutional Support to the Regional Hub of Civil Service in Astana to assist in increasing the effectiveness of civil service in the countries of the region and beyond	2014-2017
3	Promoting Kazakhstan's Official Development Assistance Cooperation with Afghanistan	2016-2018

Outcome status*:* Determine whether there has been progress made towards the Outcomes 3.1 achievement, and also identify the challenges to attainment of the outcomes. Identify innovative

approaches and capacities developed through UNDP assistance. Assess the relevance of UNDP outputs to the outcomes.

Underlying factors*:* Analyze the underlying factors beyond UNDP's control that influenced the outcomes. Distinguish the substantive design issues from the key implementation and/or management capacities and issues including the timeliness of outputs, the degree of stakeholders and partners' involvement in the completion of outputs, and how processes were managed/carried out.

Strategic Positioning of UNDP: Examine the distinctive characteristics and features of UNDP's inclusive development programme and how it has shaped UNDP's relevance as a current and potential partner. The Country Office position will be analyzed in terms of communication that goes into articulating UNDP's relevance, or how the Country Office is positioned to meet partner needs by offering specific, tailored services to these partners, creating value by responding to partners' needs, demonstrating a clear breakdown of tailored UNDP service lines and having comparative advantages relative to other development organizations in the Regional Cooperation result area.

Partnership strategy*:* Ascertain whether UNDP's partnership strategy has been appropriate and effective. What were the partnerships formed? What was the role of UNDP? How did the partnership contribute to the achievement of the outcome? What was the level of stakeholders' participation? Examine the partnership among UNDP and other donor organizations in the relevant field. This will also aim at validating the appropriateness and relevance of the outcome to the country's needs and the partnership strategy and hence enhancing development effectiveness and/or decision making on UNDP future role in development.

Lessons learnt: Identify lessons learnt and best practices and related innovative ideas and approaches in incubation, and in relation to management and implementation of activities to achieve related outcomes. This will support learning lessons about UNDP's contribution to the outcomes over the current PFD and CPD cycle so as to design a better assistance strategy for the next programming cycle.

4. EVALUATION CRITERIA

Outcome evaluation design should clearly spell out the key questions according to the evaluation criteria against which the subject to be evaluated. The questions when answered, will give intended users of the evaluation the information in order to make decisions, take action or add to knowledge. The questions cover the following key areas of evaluation criteria:

a) *Relevance: the extent to which the Outcome activities are suited to the priorities and policies of the country at the time of formulation:*
- Did the Outcome activities design properly address the issues identified in the country?
- Did the Outcome objective remain relevant throughout the implementation phase, where a number of changes took place in the development of Kazakhstan?
- How has UNDP's support for Kazakhstani ODA system positively contributed to a favorable environment for regional cooperation led by Kazakhstan?
- Has UNDP played a role in introducing the Government to the best global practices to promote partnership for SDG?
- Has UNDP unified stakeholders and contributed to a legal system in the related area in the work to promote regional cooperation?

- To what degree are approaches such as "human rights-based approach" to programming, gender mainstreaming and results-based management understood and pursued in a coherent fashion?

b) *Efficiency: measurement of the outputs in relation to the inputs.*
- Have the results been achieved at an acceptable cost, compared with alternative approaches with the same objectives? If so, which types of interventions have proved to be more cost-efficient?
- How much time, resources and effort it takes to manage the regional cooperation outcome? Where are the gaps if any?
- How did UNDP practices, policies, decisions, constraints and capabilities affect the performance of the regional cooperation portfolio?
- Has UNDP contributed to public awareness and communication strategy and increased the engagement of the beneficiaries and end-users in the regional cooperation?

c) *Effectiveness: the extent to which the Outcome activities attain its objectives*.
- How many and which of the outputs are on track by 2018?
- What progress toward the Outcome delivery has been made by 2018?
- What factors have contributed to achieving or not achieving the intended Outcome?
- Has UNDP supported the Government to increase accountability, transparency and sensitivity to people needs, especially those who vulnerable?
- Has UNDP contributed to governmental institutions be more likely to solicit public opinions relating to promote Kazakhstani ODA system and regional cooperation?
- To what extent has the rights-based approach been integrated in CO development programming and implementation activities?
- Has UNDP made impact to improve in transparency and the integrity system of the government?

d) *Sustainability: the benefits of the Programme related activities that are likely to continue after the Programme fund has been exhausted*
- How UNDP has contributed to human and institutional capacity building of partners as a guarantee for sustainability beyond UNDP interventions?
- Are there national plans reforms to promote the regional cooperation or likely to be developed, approved and implemented in the next few years?
- Has follow up support after the end of the Outcome activities been discussed and formalized? Is there a clear exit strategy?

Apart from the criteria above, there are additional commonly applied evaluation criteria such as impact, coverage, connectedness, value-for-money, client satisfaction and protection used in the evaluation, although, not all criteria are applicable to every evaluation. Within the Outcome evaluation there can be additional evaluation questions specified for each the criteria, however all they must be agreed with the UNDP in Kazakhstan. Based on the above analysis, Individual Consultant (herein referred to as Consultant) must provide recommendations on how UNDP in Kazakhstan should adjust its programming, partnership arrangements, resource mobilization strategies, working methods and/or management structures to ensure that the outcome change is achieved by the end of the current UN PFD and UNDP CPD period.

5. METHODOLOGY

This section suggests an overall approaches and methods for conducting the evaluation, as well as data sources and tools that will likely yield the most reliable and valid answers to the evaluation questions. However, the final decisions about the specific design and methods for the evaluation should emerge from consultations between the evaluation consultant the Participating UN Agencies about what is appropriate and able to meet the evaluation purpose, objectives and answers to evaluation questions.

This evaluation will be conducted by using methodologies and techniques suitable for the evaluation purpose, objective and evaluation questions as described in this ToR. In all cases, consultants are expected to analyse all relevant information sources, such as annual reports, project documents, mission reports, strategic country development documents and any other documents that may provide evidence on which to form judgements. The evaluation consultant is also expected to use interviews, surveys or any other relevant quantitative and qualitative tools as means to collect data for the evaluation. The evaluation consultant will make sure that the voices, opinions, and information of targeted citizens and participants of the CPD Outcome projects are taken into account.

The methodology and techniques to be used in the evaluation should be agreed upon with UNDP and other stakeholders and clearly outlined and described in detail in the Inception report and final evaluation report, and should contain, at minimum, information on the instruments used for data collection and analysis, whether these be documents, interviews, field visits, questionnaires or participatory techniques. The evaluation consultant should seek guidance for their work in the following materials:

- UNEG Norms for Evaluation in the UN System
- UNEG Standards for Evaluation in the UN System

The methodology and techniques to be used in the Evaluation should be agreed upon with UNDP and other stakeholders and clearly outlined and described in the inception report and final evaluation report, and should contain, at minimum, information in the tools used for data collection and analysis, whether these be documents, interviews, field visits, questionnaires or participatory techniques.
Evaluation may include, but is not limited to, the following methods of data collection:

- **Desk review –** review and identify relevant sources of information and conceptual frameworks that exist and are available (please, see Annex I).

- **Interviews –** structured, semi-structured, in-depth, key informant, focus group etc. to capture the perspectives of beneficiaries and non-beneficiaries, participating ministries, departments and agencies, relevant personnel from the Participating UN Agencies and local authorities (regional, district and at the level of a county), donors, other relevant stakeholders (including trainees, community members and community leaders) and others associated with the Programme.
- **Case studies -** in-depth review of one or a small number of selected cases, using framework of analysis and a range of data collection methods. Several case studies can be quite sophisticated in research design, however simpler and structured approaches to case study can still be of great value.

- **Information systems –** analysis of standardized, quantifiable and classifiable regular data linked to a service or process, used for monitoring (desirable but not crucial).

The evaluation will use available data to the greatest extent possible. This will encompass administrative data as well as various studies and surveys. This approach will help address the possible shortage of data and reveal gaps that should be corrected as the result of the Evaluation.

The reliability of disaggregated data at the district level should be taken into account as the capacity for data collection at the local level is still quite low and it is relatively expensive to conduct comprehensive surveys at sub-regional level. In this regard, it is necessary to use objective and subjective data available from the official sources (national and local statistics offices, administrative data), additionally verified by independent sources such as surveys and studies conducted by local and international research companies, civil society organizations and UN agencies. The relevant sources and access to data will be provided by UNDP and national stakeholders respectively.

The evaluation consultant must provide evidence-based information that is credible, reliable and useful. It must be easily understood by UNDP partners and applicable to the remaining period of CPD.

6. EVALUATION DELIVERABLES AND TIMEFRAME

The evaluation consultant will prepare reports which triangulate findings to address the questions of the final evaluation, highlight key significant changes in regard to the key thematic policy documents, draw out lessons learned, present findings and recommendations, reflecting comments and feedback received from selected staff. The structure of the reports should be used to guide the reader to the main areas (please, see Annex II for the Evaluation report template). The language of the reports should be simple, free from jargon and with specialist terms explained. It will be important to receive the report on a timely basis, as the information risks to be wasted if it arrives too late to inform decisions. Here are the principal evaluation products the evaluation consultant is accountable for following activities and deliverables:

1. **Evaluation inception report** (prepared after **Briefing** the evaluation consultant before going into the full-fledged data collection exercise and consist of *5-10 pages excluding annexes*) – to clarify the evaluation consultant's understanding of what is being evaluated and why, showing how each evaluation question will be answered by way of: proposed methods, proposed sources of data and data collection procedures (to be presented in an Evaluation matrix discussed below). The evaluation inception report should include a proposed schedule of tasks, activities and deliverables.

2. **Evaluation matrix** (suggested as a deliverable to be included in the Evaluation inception report) is a tool that evaluation consultant creates as map in planning and conducting an evaluation. It also serves as a useful tool for summarizing and visually presenting the evaluation design and methodology for discussions with stakeholders. It details evaluation questions that the evaluation will answer, data sources, data collection, analysis tools or methods appropriate for each data source, and the standard or measure by which each question will be evaluated. (Please, see Table below)

Relevant Evaluation criteria	Key Questions	Specific Sub-Questions	Data Sources	Data collection Methods / Tools	Indicators/ Success Standard	Methods for Data Analysis

3. **Draft evaluation report** (consist of 30-40 pages excluding annexes) – to be reviewed by the Participating UN Agencies and other respective stakeholders at the end of data collection. The draft evaluation report should contain all the sections outlined in the *Evaluation Report Template* (please, see Annex II) and be accompanied by a PowerPoint presentation for a Stakeholders' meeting.

It should be noted that a **Stakeholders' meeting**[63] is planned to be held in Astana (Almaty colleagues might join via Conference Call) to discuss findings of the *Draft Evaluation report* in order to get feedback from stakeholders, circulate the report to all the people who are recommended to attend the meeting, with time to read it first. The evaluation consultant should consider and incorporate stakeholders 'feedback as appropriate.

4. **Final Evaluation report.** The final task of the evaluation consultant is to prepare a comprehensive and well-presented copy of the final Evaluation report, covering all section of *Evaluation Report Template* (please, see Annex II) and containing 40-50 pages[64]. Evaluation brief and summary are required.

Evaluation timeframe

Deliverables	Working days
Conducting a desk review	4
Preparing the detailed evaluation inception report (to finalize evaluation design and methods)	2
In-country evaluation mission (visits to the field, interviews, questionnaires) and in country analysis with preliminary feedback to country stakeholders.	5
Preparing the draft report	7
Finalizing the evaluation report (incorporate comments provided)	5

(e.g. 23 working days in total over a period of two months)

7. QUALIFICATIONS AND EXPERIENCE:

Functional competencies:

Professionalism
- Good knowledge of the UNDP system and UNDP country programming processes (CPD/CPAP);
- Specialized experience and/or methodological/technical knowledge, including data collection and analytical skills, mainstreaming HRBA and gender to programming;
- Results Based Management (RBM) principles, logic modelling/logical framework analysis, quantitative and qualitative data collection and analysis, and participatory approaches.

Communications
- Good communication (spoken and written) skills, including the ability to write reports, conduct studies and to articulate ideas in a clear and concise style.

Required Skills and Experience

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[63] Participation of the evaluation consultant in the Meeting is mandatory.
[64] Evaluation consultant may need to use 'Times New Roman' font at a size of 12 points, with Normal margin and line spacing 1.15.

Education
• Advanced university degree (Master's or equivalent) in social science, economics, or related field.

Experience
• 7 years of the relevant professional experience; previous experience with CPD/CPAP evaluations and/or reviews including previous substantive research experience and involvement in monitoring and evaluation, strategic planning, result-based management (preferably in regional and international cooperation, ODA establishment and management, partnership communications, partnership policies etc.);

• Practical experience in Eastern Europe and CIS region and/or knowledge of the development issues in Middle Income Countries is an asset.

Language Requirements
• Excellent written and spoken English. Knowledge of Russian is an asset;
• Excellent report writing skills as well as communication skills.

Other attributes
• An understanding of and ability to abide by the values of the United Nations;
• Awareness and sensitivity in working with people of various cultural and social backgrounds;
• Display cultural, gender, religion, race, nationality and age sensitivity and adaptability;
• It is demanded by UNDP that Consultant is independent from any organizations that have been involved in designing, executing or advising any aspect of the intervention that is the subject of the evaluation[65].

Evaluation Ethics

The evaluation must be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'[66] and should describe critical issues Consultant must address in the design and implementation of the evaluation, including evaluation ethics and procedures to safeguard the rights and confidentiality of information providers, for example: measures to ensure compliance with legal codes governing areas such as provisions to collect and report data, particularly permissions needed to interview or obtain information about children and young people, as well as some categories of vulnerable population; provisions to store and maintain security of collected information; and protocols to ensure anonymity and confidentiality. Consultant is also requested to read carefully, understand and sign the 'Code of Conduct for Evaluator in the UN System' (Annex III).

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[65] For this reason, staff members of UNDP based in other country offices, the regional centers and Headquarters units should not be part of the evaluation consultant.
[66] UNEG, 'Ethical Guidelines for Evaluation', June 2008. Available at http://www.uneval.org/search/index.jsp?q=ethical+guidelines.

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Annex 3
List of Persons Interviewed

UNDP Kazakhstan Country Office

Mr. Vitalie Vremis, Deputy, Resident Representative
Ms. Irina Goryunova, Assistant Resident Representative
Dr. Alikhan Baimenov, Chairman, Steering Committee, Astana Civil Service Hub
Mr. Maksut Uteshev, Advisor, Astana Civil Service Hub
Mr. Genadiy Rau, Former Project Manager, Afghan Women Project
Mr. Konstantin Sokulskiy, Head of Governance Unit
Ms. Zhanetta Babasheva, Monitoring and Evaluation Associate
Mr. Talgat Ayapbergenov, Former Project Manager, KAZ ODA Project

UNDP Regional Bureau Istanbul

Mr. Ivan Zverzhanovski, Team Leader, New Partnerships and Emerging Donors
Ms. Astrid Schnitzer-Skjønsberg, ODA Capacity Building Consultant

Government of Kazakhstan

Ministry of Foreign Affairs

Mr. Olzhas Issabekov, Head, FEPD

Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti-Corruption

Ms. Zhanan Kairalapina, Head, International Programmes and External Relations
Mr. Yerkebulan Berdybekov, Head, Division for Selection for Civil Service
Mr. Zhendes Khassen, Head, Division for Monitoring, Evaluation and Human Relations
Development

Academy of Public Administration under the President of Kazakhstan

Mr. Abil Yerlan, Director, Institute of Management
Mr. Azamat Zholmanov, Director, APA branch in Karaganda

Kazakhstan Academic Institutions

Prof. Saltanat Janenova, Graduate School of Public Policy

Government of Georgia

Civil Service Bureau of Georgia

Ms. Maia Dvilashvilli, Deputy Director

Government of Afghanistan

      Mr. Saad Hassam, Counsellor, Embassy of the Islamic Republic of Afghanistan in Astana

Government of Macedonia

      H.E. Ilija Psaltirov, Ambassador

Donors

Japan

      Mr. Yukio Ishibiki, First Secretary, Head of Economic and Economic Cooperation Section, Embassy of Japan in the Republic of Kazakhstan

JICA

      Mr. Mitsuo Murayama, Project Formulation Advisor for Afghanistan
      Ms. Asyel Karatayeva, Program Coordinator, Kazakhstan Field Office

Afghan ODA project beneficiary

      Ms. Lida Sheerzad, Gender Expert, Afghanistan High Peace Council

Annex 4
Evaluation Schedule
29 August – 26 October 2018

Date	Time	Name/Group/Institution	Location	Persons Met
Wednesday, 29 August	12.00 – 13.00	Skype with UNDP KZ re evaluation arrangements	Dubai and Astana	Ms. Zhanetta Babasheva, M & E; Annette
Wednesday, September 7		Document review; preparation of inception report, including frameworks for questionnaires	Dubai	Annette
September		Document review; preparation of inception report, including frameworks for questionnaires	Dubai	Annette
September	18.30-19.00	Initial discussion on HUB	Dubai and Astana by Skype	Konstantin, Annette
Sunday, September 23	Consultant travels from Dubai home base to Astana for KIIs, FGDs with UN, GoK and other stakeholders			
Monday, September 24	10.00	Programme Staff meeting	UNDP	Zhanetta, Annette
	11.15-12.30	ACSH and the HUB overview	ACSH	Zhanan Kairalapina, Head, International Programs and External Relations; Annette
	12.30-13.30	Civil service competencies framework	ACSH	Mr. Yerkebulan Berdybenov, Head, Division for Selection for Civil Service; Annette
	13.20-14.00	Pay scale initiative	ACSH	Mr. Zhandaes Khassen, Head, Division for Motivation, Evaluation and HR Development; Annette
	14.30-15.00	Programme staff	UNDP	Konstantin, Zhanetta, Annette
	16.00-17.00	HUB background; linkages; future	UNDP	Mr. Alikhan Baimenov, Chairman, HUB Project; Annette
Tuesday, September 25	12.00-13.00	Academy participation in Hub	Academy	Mr. Abil Yerlan, Director, Institute of Management; Annette

	18.15-19.30	Afghan Women Project	UNDP	Mr. Genadiy Rau, former Project Manager; Annette
Wednesday, September 26	10.00-11.00	Nazarbayev University Hub participation	Nazarbayev University	Prof. Saltanat Janenova; Annette
	12.00-13.00	Japan's support of Afghan and ODA projects	Embassy of Japan	Mr. Mitsuo Murayama, Project Formulation Advisor, JICA; Mr.; Ms. JICA; Annette
	15.00-17.00	Macedonia participation in Hub	Embassy of Macedonia	HE Ilija Psaltirov, Ambassador; Annette
	17.15-19.30	Review of evaluation progress; additional documentation; respondents	UNDP	Irina Goryunova, UNDP Assistant Resident Representative; Annette
Thursday, September 27	11.15-12.00	Afghan ODA activities	Embassy of Afghanistan	Mr. Saad Hassam, Councillor; Annette
	1300-14.00	Evaluation progress	Rafe Café, Astana	Irina; Annette
	15.00-16:00	Civil Service Bureau Georgia participation in Hub	Astana-Tbilisi by Skype	Maia Dvilashvilli; Annette; Martha
	17.00-18.00	Project M&E	UNDP	Zhanetta, Annette
Friday, September 28	09.00-10.00	In-house debrief on preliminary findings	UNDP	DRR; Annette (TBC)
	12.00-13.00	ODA project	MFA	Mr. Olzhas Issabekov, Head FEP, MFA; Annette
	15.30	Consultant travels from Astana to Dubai home base		
Monday, 8 October		Astana Hub	By email	Mr. Azamat Zholmanov, Director, APA branch in Karaganda
Tuesday, 9 October	16.15-17.00	Astana Hub	Dubai-Astana by skype	Konstatin, Annette
	17:00-17:30	CBN-Afghan civil servants	Dubai-Kabul by Skype	Ms. Leda Sheerzad, Gender Expert, High Peace Council; Annette
Thursday, 11 October	10.00-10.30	UNDP IRH support to KAZ ODA project	Brussels-Dubai by Skype	Mr. Ivan Zverzhanovski, Team Leader, New Partnerships and Emerging Donors, UNDP IRH; Annette
Monday, 15 October	11.00-12.30	UNDP IHR support to KAZ ODA project	Oslo – Dubai by Skype	Ms. Astrid Schnitzer-Skjønsberg, ODA Capacity Building Consultant, IHR; Annette

ANNEX 5

EVALUATION MATRIX

Evaluation Criteria	Key Questions	Data Sources	Data Collection Tools, MoVs
Relevance	• How well are the Outcome activities aligned to National Programmes and Priorities, and to international goals and treaties, including the 2030 Agenda? • Was the design of the Outcome adequate to properly address the issues envisaged in its formulation? • How responsive have the Outcome activities been to issues which have emerged since its launch? • How relevant is the choice of partners to the activities undertaken? • To what extent have the Outcome activities been informed by human rights and gender analyses? By RBM?	UNDP CPD and project documents, reviews, project board minutes; other UNDP materials; SDG-related materials; UNPDF; UNDP staff, national partners and donors; GoK development strategy and related documents; media reports	Document review; KIIs; FGDs in person and by remote (email, phone, Skype)
Effectiveness	• To what extent has there been progress towards the achievement of the intended outputs and results to date? • What factors, if any, have hindered the achievement of expected results? • What factors have facilitated the achievement of expected results? • How well have the Outcome activities supported national development priorities? • To what extent have national capacities been strengthened? • What, if any, factors hinder the attribution of Outcome activities' results? • How effectively have the Outcome activities been managed? • How effectively were risks and assumptions addressed during the implementation of the Outcome activities?	UNDP staff, national and international partners and donors; project beneficiaries; GoK development strategies; legislation and related documentation; project activities' reports and assessments	FGDs, KIIs in person and by remote; document review
Efficiency	• Have the Outcome activities been implemented within the CPD and institutional deadlines and cost estimates? • Was support to the Outcome appropriate in achieving the desired objectives and intended results? • If not, what were the key weaknesses? • Were the results delivered in a reasonable proportion to the operational and other costs? • What mechanisms does UNDP have in place to monitor implementation and results?	Project documents and monitoring reports; other project documentation; UNDP staff; national and international partners and donors	FGDs, KIIs in person and by remote; document review

Sustainability	• To what extent will the results delivered so far through the Outcome be sustained after UNDP support ends, for example: 　○ Is there a handover plan or exit strategy? 　○ If so, has this been shared with partners? 　○ To what extent have individual and institutional capacities been strengthened in order to maintain and expand the positive results of the interventions?	UNDP staff, national partners	FGDs, KIIs in person and by remote
Partnerships	• Have relationships with key partners functioned as planned and intended?	UNDP staff, national and international donors and partners	FGDs, KIIs in person and by remote; document review

Annex 6

The KAZ ODA Project Assessment

Project title*: Expert Support for the Establishment of a National ODA System in Kazakhstan*
Expected CP Output 1 (2016-2020 CPD): *The national ODA agency is established and well-functioning*

As noted above, the responsibility for Kazakhstan's ODA disbursements and related activities is divided across several ministries; and the Ministry of Foreign Affairs (MFA) is the main implementor of the country's ODA policy.   To date, Kazakhstan has disbursed an estimated $340 million in humanitarian and development assistance, primarily to neighbouring countries and to Afghanistan. Kazakhstan has reported on its ODA to the OECD/DAC since 2013. However, noting that its aid management and coordination systems are not centralized, the actual amounts disbursed may be under-reported.

With the aim to institutionalize and professionalize Kazakhstan's ODA system and thereby strengthen Kazakhstan's role as an emerging donor, the GoK MFA and UNDP KZ CO launched a project on *Expert Support for the Establishment of a National ODA System in Kazakhstan* (the KAZ ODA project) In October 2014. The KAZ ODA Project was intended to contribute to the establishment of a national ODA agency through 1) the preparation of secondary ODA-related legislation, rules and regulations; 2) the provision of systematic capacity building for the MFA as well as to other government bodies with ODA-related responsibilities; and 3) the development of a communication strategy for the proposed agency. Towards these objectives, the Project also collaborated with other DPs, including USAID, the World Bank, and JICA.

The broad terms of reference for the proposed ODA agency (the "operator") are set out in Kazakhstan's December 2014 *Law on Development Assistance*, Article 9, "Competence of the Operator". The 2014 ODA law also provides for the functions of the Operator to be carried out by the MFA in the interim before the agency is established.[67]

The project was funded through a cost-sharing arrangement with the GoK, and its initial timeframe was one year. The project subsequently received two no-cost extensions. While the project generated a number of keys supporting legal, operative and communications materials and facilitated several ODA-related training sessions and study tours, its ultimate objective, the launch of a national ODA agency, was not realized; these and other details are considered below. Although the project was closed in June 2017, a UNDP Project Assistant, who is funded through another project, currently works in the MFA/FEPD and contributes to its day to day operations.

Relevance. The KAZ ODA project's objectives and its expected outputs are consistent with various GoK policy frameworks, including The *Kazakhstan Strategy 2050*; the F*oreign Policy Concept for 2014-2020 of the Republic of Kazakhstan,* and Kazakhstan's ODA-related legislation, including the 2014 ODA law and the 2017 midterm strategy. The project is therefore highly relevant to Kazakhstan's current foreign

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[67] "Before the operator is established, its functions shall be executed by the designated authority (MFA)." (Art. 9 clause 1). After its establishment, the ODA agency is to report to the MFA: Art. 9, clause 7.

policy goals, including its intention to become an OECD member state and its then intention to attain UNSC membership.[68]

The KAZ ODA project also aligns with UN strategies and programming frameworks, including the 2016-2020 UNPFD, the current UNDP *Strategic Plan* (see above pp.); and it supports SDG achievement, particularly for SDG 17 on the global partnership for sustainable development.

Effectiveness. The expected versus actual results of the KAZ ODA Project are summarized below in Table 1.

Table 1: Expected versus Actual Results of the KAZ ODA Project to Date

Expected Outputs	Remarks on intended versus actual activity results	Sources of information
1 Conceptual, institutional and programmatic framework and mechanisms for ODA institution developed	Expected Results: developed and implemented Actual Results-: Partially achieved UNDP Secretariat at MFA established; capacity building sessions on key issues in development cooperation and aid management provided; ODA-related legislation and strategic documents drafted, included draft JSC charter for ODA entity; one enacted in January 2017; facilitation of participation of Kazakhstan MFA officials in relevant regional and international events Not achieved: Draft of a multi-year country assistance programme that defines geography of aids for future ODA agency; 3 ODA mechanisms in place (M&E system; standard reporting; project database); institutional capacity gap assessment not undertaken; HR management system not developed;	Project reports; MFA reports; ROAR; KIIs with UNDP, MFA; FGD with Government of Japan, JICA
2 Communication and visibility strategies developed for the Operator and knowledge-sharing between ministries in Kazakhstan and ODA agencies abroad established	Expected results: Communication strategy drafted; branding and visibility strategies developed and promoted; agency website created; support to existing and new inter-ministerial knowledge sharing and coordination mechanisms in the area of ODA Actual results: Partially achieved Communication strategy drafted; branding and visibility strategies developed but not implemented; agency website not created	Project reports; MFA reports; ROAR; KIIs with UNDP, MFA; FGD with Government of Japan, JICA

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[68] Kazakhstan has since become a non-permanent member of the UNSC.

A third output for the development of pilot triangular projects, which was included in the project document[69], did not appear in the project's subsequent AWPs. However, the KAZ ODA project did contribute to the development of the Afghanistan Project, which is the second project under the Regional Cooperation Outcome and which is considered below.[70]
.
Supporting legal, institutional and operational documentation produced. The Project's outputs include the development of various legal, strategic and operational draft documents, including the draft charter for the ODA agency as a Joint Stock Company (JSC)[71]; and an organizational structure for the national ODA system. The Project also supported the production of Kazakhstan's 2015 ODA report to the OECD/DAC; developed a communications strategy and registered web-site domains for the national ODA system; developed a web-site design and concept; and drafted a list of future pilot projects on ODA with state-partners, among other outputs.

One of the most visible outputs of the KAZ ODA project was the midterm strategy on the main directions for Kazakhstan's policy on ODA for 2016-2020 which was prepared in 2016 by the UNDP Istanbul Regional Hub ODA expert and which was adopted as a presidential decree in January 2017.[72]

ODA Capacity Building for MFA/FEDP staff. A key objective of the KAZ ODA project was to strengthen the capacity of the staff of MFA. and in other ministries involved in aid work, to develop and deliver ODA-related services and products. Towards this objective, the Project arranged, among other sessions, country-specific briefings and study visits to Kyrgyzstan and Tajikistan; and it organized an ODA budget training session with presentations by World Bank, USAID and the UNDP RBEC New Partnerships and Emerging Donors TL in Astana in 2016.

Towards the institutionalization of ODA capacity, several ODA project cycle management tools were developed through UNDP for MFA, including manuals on project cycle management and M&E for ODA projects, as well as a "Frequently Asked Questions (FAQ) booklet with definitions of development assistance, ODA management, global commitments and other basic terminology. [73]

The Project also facilitated MFA's relations with key multilateral and bilateral development organizations; and it assisted MFA in hosting a high-level ODA side event during the VIII Astana Economic Forum in May 2015.

There is anecdotal evidence that the professional skill sets of the MFA/FEPD staff were strengthened by the training provided through the KAZ ODA project[74]. However, there was no institutional capacity or functional assessment of MFA/FEPD staff undertaken by UNDP at the beginning of the KAZ ODA project

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[69]*Pilot triangular cooperation projects developed with engagement of existing development initiatives and other stakeholders operating in country;* the expected results were *a number of pilot projects developed and ready for implementation; database for ODA projects created; inventory of ODA projects done:* project document pp. 7-8.
[70] The KAZ ODA project also assisted with the 2017 Kazakhstan-Israel drip irrigation project.
[71] See Project Lessons Learned, January 2017, p. 2. Neither the MFA nor the current UNDP staff knew why the agency was to be structured as a JSC. Perhaps this was one way to justify the establishment of a new GoK entity at a time of budget austerity?
[72]Decree of the President of the Republic of Kazakhstan "On Approval of the Main Directions of the State Policy of the Republic of Kazakhstan in the Field of ODA for 2016-2020". http://adilet.zan.kz/rus/docs/U1700000415
[73] The evaluator is indebted to Ms. Astrid, for sharing these materials with her.
[74] KII with DP.

which would have provided a baseline for the degree to which staff capacities and competencies were increased, although this was envisaged in the KAZ ODA project document[75]. It is therefore difficult to qualify the extent to which this project's training sessions strengthened either individual competencies or MFA's institutional capacity. Moreover, no feedback seems to have been collected by UNDP for any of the seminars or study tours to Kyrgystan and Tajikistan[76] which were provided to MFA/FEPD staff through this project. Finally, the evaluator was informed that all of the MFA/FEPD staff who participated in the ODA-related trainings, except for the current FEPD director, have since been rotated to postings outside of Kazakhstan; and, in the absence of capacitated staff, it is unclear what mechanisms for skills and knowledge transfer exist within the MFA/FEPD, beyond the ODA themed manuals and other tools prepared by UNDP.

Efficiency. The efficiency of project delivery could have been improved. Over 35% of the project's budget was used for administrative purposes, including the establishment of a UNDP Secretariat at MFA. The possibility of placing MFA staff in UN agencies for "hands on" learning by doing was mentioned in the project document, and this is one way in which the project's administrative costs could have been reduced.

The KAZ ODA project was initiated as a one-year activity. However, the project was required two no-cost extensions of a year each to deliver most of its outputs; and its ultimate outcome, a sustainably functional ODA agency, was not achieved. The factors which hindered the Project's effectiveness and efficiency are considered below, under "Challenges".

Sustainability. One of the most visible outputs of the KAZ ODA project was the midterm strategy on the main directions for Kazakhstan's policy on ODA for 2016-2020 which was prepared in 2016 by the UNDP Istanbul Regional Hub ODA expert and which was adopted as a presidential decree in January 2017.[77]

Although the subjects of the trainings provided to MFA staff were relevant and appropriate, institutional capacity building would have been sustainable only if the capacitated MFA staff transferred their skills to their peers, or if they were retained by the MFA/FEPD ODA unit. Furthermore, the extent to which individual MFA/FEPD staff skills or FEPD institutional capacity were sustained after project completion is also not known, nor did the Project have any strategies to ensure or to track this.

As noted above, most of the MFA/FEPD staff who received ODA-related training through the KAZ ODA project, with the exception of the FEPD Director, have since been rotated to postings outside of Kazakhstan; and, it is unclear what mechanisms for the transfer of those ODA skills exist within the Department. A key challenge for the MFA is therefore to ensure the continuity of its ODA-capacitated staff in order to guarantee the availability of development expertise. MFA staff retention is an issue beyond the control of UNDP. However, in the absence of a dedicated ODA unit, ongoing training of the FEPD, perhaps as part of a general staff induction for MFA and other government bodies, could be provided through UNDP; and some of the PCM tools developed through the KAZ ODA project could be used.

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[75] One of the activities in the project's 2014-2015 AWP is an "institutional capacity assessment/gap analysis to help identify already existing capacities and strengths…": UNDP Kazakhstan project document, 2014, p. 5

[76] Similar study tours were also provided through the Afghanistan project in 2016-2018 see below, pp. xx JICA provided in December 2014 7 GoK staff to Tokyo to learn about JICA's ODA experience.

[77]Decree of the President of the Republic of Kazakhstan "On Approval of the Main Directions of the State Policy of the Republic of Kazakhstan in the Field of ODA for 2016-2020". http://adilet.zan.kz/rus/docs/U1700000415

3.1.5 Challenges to the Project's achievement of results
A key challenge to the achievement of the KAZ ODA project's expected results was that the finalization and implementation of its draft legal, monitoring and communication outputs were contingent upon Government approval of the legislation to establish the ODA entity.   As this decree has still not been approved, the rules and regulations generated by the Project for the governance, structure and operations of the proposed ODA agency remain in draft form.

Various factors contributing to the delay in the ODA agency's launch include the loss of its high level champion at MFA,[78] and the freeze on new Government activities from 2015 through 2018 following the Kazakhstan's economic slowdown in 2014 and 2015.[79] Moreover, once Kazakhstan was elected to the UNSC as a non-permanent member in June 2016, there seems to have been less urgency to establish the ODA agency to demonstrate the country's good global citizenship (although it is notable that the OECD does not require that donors have either an institutionalized aid agency or an ODA law).

Furthermore, beyond MFA, there does not seem to have been consensus among the other ministries who handle ODA activities on the value added of introducing a specialized ODA agency into the existing system. As a result, the KAZ ODA Project had a national partner with whom to work, but the activity did not have national ownership. Finally, insufficient political will to establish the ODA agency is a political risk which was not foreseen in the Project's risk and risk mitigation strategy. However, once this risk occurred, [80] the Project was unable to develop a mitigation strategy for it.

Although the ODA agency has not yet been launched, the GoK still provides ODA to other countries in the region through the MFA and its other relevant line ministries; and the MFA/FEPD continues to liaise with DPs and other UN agencies for ODA-related institutional and policy guidance.[81]

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[78] The Minister for Foreign Affairs under whom the KAZ ODA project was initiated, and who championed the establishment of a development assistance agency, was rotated from his position at the end of 2016; and his successor was less enthusiastic about the proposed ODA agency: KII with DP

[79] The Ministry of Finance questioned the necessity of launching an ODA agency during a period of austerity at the LPAC meeting prior to the inception of the KAZ ODA project: LPAC September 2014.

[80]UNDP Kazakhstan, *Project Lessons Learned Report (for 2016)*, 13 January 2017, p. 2

[81] MFA/FEPD at DAC meeting September 2018-development of roadmap with DAC; UNICEF KZ "child --friendly ODA" policy and SSTC projects, including "…Strengthen(ing) capacity of counterparts (including ministries of foreign affairs and national economy) on child-friendly ODA and its monitoring…": VA 9 August 2018: https://unjobs.org/vacancies/1531915845543 and UN ARR, February 2018, pp. 22; UNICEF, COAR, pp.

Annex 7
The Afghanistan SSTC Project Assessment

Project title: *Promoting Kazakhstan's Official Development Assistance Cooperation with Afghanistan*
Expected CP Outcome: *The national ODA agency is established and well-fuinctioning*
Expected Output: *Promotion of civil service excellence and gender equality policies in Afghanistan is supported through a pilot project of Kazakhstan's ODA*

In 2017, the GoK, with support from UNDP CO KZ, launched the Afghanistan project as its first triangular cooperation project with Japan[82].   The catalyst for this project was the October 2015 Joint Statement signed by the GoK with the Government of Japan (GoJ), whereby Japan agreed to support a tripartite partnership with Kazakhstan and UNDP to strengthen women's economic empowerment in Afghanistan. The aims of the Afghanistan project were to strengthen civil service excellence and gender equality policies in Afghanistan through the transfer of Kazakhstan's experience and expertise in these areas to Afghan individuals and institutions and, through this intervention, to provide practical experience for Kazakhstan's MFA ODA unit to plan, manage and report on ODA projects.

In the SSTC project, the GoJ, through its Embassy in Astana and through JICA, acted as a project **facilitator** by initiating the partnership and by providing technical support as well as funding through the UNDP-Japan Partnership Fund. UNDP KZ was as well a project facilitator through the provision of technical expertise and partnership brokerage. The GoK, through its MFA and relevant line ministries and academic institutions[83], acted as the **pivotal partner** through the transfer of expertise and knowledge to the beneficiaries; and the GIRA, through its Ministry of Womens Affairs (MoWA) and other GIRA bodies, was the project **beneficiary[84]**. Logistical support to the project in Afghanistan was provided by the UNDP Afghanistan CO and the GIRA MFA.

Relevance. The Afghanistan SSTC project's objectives and expected outputs were consistent with various GoK policy frameworks, including The *Kazakhstan Strategy 2050*; the F*oreign Policy Concept for 2014-2020 of the Republic of Kazakhstan,* and Kazakhstan's ODA-related legislation, including the 2014 ODA law and the 2017 midterm strategy for Kazakhstan's ODA policy. Its theme is therefore highly relevant to Kazakhstan's foreign policy aims, including its focus on Afghanistan as a priority ODA partner country.

The project's aims and objectives also fall within the parameters of the Government of Japan's basic policy on reconstruction in Afghanistan, particularly in the area of human resource development. Furthermore, the project also aligns with UN strategies and programming frameworks, including the 2016-2020 UNPFD,

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[82] Kazakhstan has also provided other support to Afghanistan through, among others, scholarships for Afghans to study in Kazakhstan academic institutions; infrastructure construction and reconstruction; and food items for humanitarian assistance.
[83] The GoK's Ministry of Education and Sciences and the Ministry of Healthcare and Social Development; the Nazarbayev University; the National Research Centre for Maternal and Child Health.
[84] According to the OECD's definitions of these roles*, "The **facilitator** helps to connect countries and organisations to form a triangular partnership and gives financial and/or technical support to the collaboration. • The **pivotal partner** often has proven experience and shares its knowledge and expertise through triangular co-operation. • The **beneficiary** is the target for the development results to be achieved by the initiative and is responsible for ensuring that results are sustainable".:* OECD *Triangular Cooperation* 2016, p. 35. See also UNOSS and UNDP, *South-South and Triangular Cooperation*, June 2017*,* p. 54 ff.

the current UNDP *Strategic Plan* and the UNDP strategy for SSTC.   Finally, although neither the project document nor any of the project reports reference its relevance to Afghanistan's national development priorities, the overall aims of the project are broadly aligned with the GIRA priorities presented in the country's current medium-term development plan, the *Afghanistan National Peace and Development Framework 2017-2021*[85], particularly its National Priority Programme (NPP) 3, "Strengthening the professional competencies and capacities of the civil service " and its NPP 11, "Women's Economic Empowerment"[86].

Effectiveness. The expected versus actual results of the Afghanistan Component are summarized below in Table 2.

Table 2: Expected versus Actual Results of the Afghanistan Project

1. The capacity of Afghani women professionals is built in the area of civil service through Kazakhstan's ODA	Expected Results: At least 20 beneficiaries are trained; 60% of trainees are from rural areas Actual Results-: Partially achieved 24 civil servants and NGO representatives participated in one seminar, including gender responsive budgeting and public service provision, held in Astana; - There is anecdotal evidence for the anticipated capacity development result, but it is not measurable.	Project reports and AWPs; ROAR; OECD/DAC report; KIIs with UNDP, MFA, Afghan beneficiary; GIRA MFA; Embassy of Japan (Astana); JICA; social media (YouTube interview)
2: Afghan healthcare female workers have increased their professional capacities through Kazakhstan's ODA	Expected results: At least 30 healthcare workers (rural and urban women) Afghanistan are trained in Kazakhstan to deliver essential healthcare services ((material and child healthcare series) Actual Results- Partially Achieved - One seminar for 30 Afghan participants (26 female, 4 male) was held in Astana. - There is anecdotal evidence for the anticipated capacity development result, but it is not measurable.	Project reports and AWPs; OECD/DAC report; KIIs with UNDP, MFA; GIRA MFA; FGD with Embassy of Japan (Astana); JICA

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[85] Government of the Islamic Republic of Afghanistan, *Afghanistan National Peace and Development Framework 2017-2021*, Kabul, 2016:
[86] Op.cit. pp. 40-41

.3 The KAZ ODA/MFA personnel's capacity is built to manage projects in ODA field	Expected Results: At least five personnel are taught and apply effective policies and practices in the field of ODA Actual Results – Partially achieved • Two seminars in Astana, study tours to Kyrgyzstan and Tajikistan, and one international training seminar in Japan were organized for MFA/ODA staff [87] with additional participation from other GoK state bodies; training topics included GRB; ODA reporting and project management; OECD/DAC reporting standards; JICA HQ work. MFA/ODA staff actively supported implementation of Afghanistan project • There is anecdotal evidence for the anticipated capacity development result, but it is not measurable	Project reports and AWPs; ROAR; KIIs with UNDP, MFA; FGD with Embassy of Japan (Astana); JICA
4: The project is managed effectively with participation of KAZ ODA/MFA personnel temporarily involved	Expected results: Actual results: Achieved • MFA/ODA staff actively supported implementation of Afghanistan project with UNDP	Project reports and AWP; Key informant interviews with UNDP and with MFA; FGD with Astana Japan Embassy and JICA stakeholders

 The project's activities included two workshops held in Astana for Afghan civil service and NGO representatives. The governance workshop for 24 civil servants and NGO representatives was held July 8-13, 2017 in Nazarbayev University; and the workshop on maternal and child health for 30 public health workers was held from 30 March – 12 April 2018, also at Nazarbayev University.

Anecdotal evidence as well as assessments by the Afghan participants of their sessions, which were solicited through questionnaires distributed and collected as the last exercise in the workshops, indicate that these activities supported their professional development[88]. In the feedback from the civil servants' workshop, the module on "gender responsive budgeting (GRB)" received the highest rating from participants; and the presentation on "gender policy – women's leadership" was ranked second.[89] GRB is a highly relevant topic for Afghan civil servants, as it was introduced as part of the GIRA budget reform in 2011.

Feedback from participants in the public health workshop rated the presentations on neonatal healthcare in rural areas and on the applicability of Kazakh models to the Afghanistan context[90].

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[87] Study trips to Kyrgyzstan and Tajikistan and seminars on gender responsive budgeting and JICA's experience in gender equality and promotion of women's rights; one seminar in Japan on ODA reporting; seminar on ODA project management, a **training seminar** on DAC OECD reporting standards and on JICA headquarters work in Japan

[88] Analyses of the feedback from the workshops for Afghan civil servants and NGO representatives and for public health workers from Afghanistan are presented in, respectively, UNDP Kazakhstan, *Feedback Results Analysis: The Capacity Building and Networking Seminar in Astana for Civil Servants and NGO Representatives from Afghanistan,* Astana, 2017 (CBNSA Governance), and UNDP Kazakhstan, *Feedback Results Analysis: The Capacity Building and Networking Seminar on Maternal and Child Health for Public Health Workers from Afghanistan,* Astana, 2018 (CBNS).

[89]CBNSA, op. cit., *pp.* 2-3

[90] CBNS, op. cit. p.3

Although UNDP documented the numbers of GoK staff and Afghan civil servants who participated in the study tours and trainings, as well as various other outputs of this component, additional information that would further quantify and qualify these figures, and which would allow an evidence-based assessment of this project's contributions to women's empowerment, individual skill sets and/or institutional capacity development, was not collected.

For example, there were no baselines to determine pre-workshop capacity levels; and current reviews of GIRA ministries' human and institutional capacities,[91] which could have provided a general proxy baseline, appear not to have been consulted. Moreover, there was no post-event follow up or tracer study of the participants in these workshops[92], although one of the project's assumptions was that its beneficiaries would "…implement the received knowledge and skill in their future life and work."[93] Finally, the Afghan participants also would have taken other workshops and/or trainings[94], and it would therefore be difficult to attribute any personal or organizational changes solely to the ones in this project. The results expected from the Astana workshops were therefore only partially achieved.

ODA Capacity Building Sessions for MFA/FEDP staff. One of the aims of the Afghanistan project was to strengthen the capacity of MFA staff to develop and deliver ODA-related services and products. With this aim, a key output of the Afghanistan project was the training that was provided to selected MFA staff on, among others, ODA reporting and budgeting; GRB; and JICA headquarters work.   All of these topics were ODA-specific, and they were therefore highly relevant for the MFA/FEPD staff.

There is anecdotal evidence that the professional skill sets of the MFA/FEPD staff were strengthened by the training provided through the Afghanistan project[95]; and that they used knowledge acquired through these trainings in the implementation of this project and in the development of its communications materials[96]   However, as there was no institutional assessment of MFA/FEPD staff undertaken by UNDP at the beginning of the project, nor had one been undertaken previously through the UNDP KAZ ODA project, it is difficult to qualify the extent to which this project's training sessions strengthened either individual competencies or MFA's institutional capacity. Moreover, no feedback was collected by UNDP for any of the seminars or study tours which were provided to MFA/FEPD staff through this project. Finally, the evaluator was informed that all of the MFA/FEPD staff who participated in the Afghanistan project trainings in 2017-2018 have since been rotated to postings outside of Kazakhstan; and, in the absence of capacitated staff, it is unclear what mechanisms for skills and knowledge transfer exist within the MFA/FEPD.

Efficiency. The planned outputs of the Afghanistan project were delivered in a timely fashion; and the project was closed according to schedule, without any extensions. According to the project's prodoc, the anticipated contributions for the project were $410,000, including an unquantified in-kind contribution

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[91] For example, the 2018 *Summary Report on the Assessment of Ministry of Public Health Institutional Capacity,* January 2018: https://iarcsc.gov.af/en/wp-content/uploads/sites/4/2018/02/Summary-Report-Assessment-MoPH-Institutional-Capacity.pdf

[92] ROAR 2017: the "survey" of MFA staff capacity building actually refers to the postworkshop feedback form: p 20; no post-training survey was conducted

[93] UNDP Kazakhstan, Afghanistan Project document, p. 21

[94] As noted on the curriculum vitae submitted for the workshop selection process

[95] KII with DP.

[96] KII with UNDP; UNDP Kazakhstan Afghanistan project ppt presentation 2017; see also media products

from GoK/MFA. However, the actual budget presented in the prodoc, and in subsequent project reports, was $300,000; and the project progress reports clearly itemize expenditures accordingly to this figure.

Sustainability. The extent to which individual MFA/FEPD staff skills or FEPD institutional capacity were sustained after project completion is also not known, although one of the strategies upon which the project was based was that "The Project will work with the MFA ODA Unit to capacitate the staff there, so that they transfer their knowledge later on to the MFA ODA (Agency) staff".[97] No details on how the Project would ensure this are provided in either the project document or the subsequent project reports and AWPs provided to the evaluator.

Moreover, although the training subjects and practical project management experience provided to MFA staff were relevant and appropriate, institutional capacity building through skills transfers from ODA-trained FEPD staff to their peers could be sustainable only if the capacitated staff were retained by the FEPD ODA unit. As noted above, the FEPD staff who received ODA-related training through the Afghanistan SSTC project have since been rotated to postings outside of Kazakhstan. It is unclear what other mechanisms for the transfer of those ODA skills exist within the MFA/FEPD.

However, the absence of a functional ODA agency with dedicated staff and a KM strategy poses sustainability risks for the ODA-related capacity building provided to the MFA through the Outcome. Nonetheless MFA, as the main implementor of the GoK ODA policies, will remain a key partner of UNDP; and any future SSTC programming through MFA would likely need to include some ODA-related training for MFA staff. Even if such training was conducted only in Astana, it would increase transaction costs for UNDP in terms of additional staff time.

Partnerships. Through the Afghanistan Project, UNDP KZ CO has developed constructive relationships with UNDP Afghanistan CO, the GIRA MFA and the Kazakhstan facilitating/implementing partners, in addition to its existing partnerships with MFA and JICA. The initial contacts between UNDP KZ and the GIRA Ministry of Women's Affairs and other Afghanistan government bodies also offer a basis for future collaborations. However, as a GIRA protocol requires that trainings of less than one year offered to Afghan civil servants should be reviewed through the Civil Service Institute (CSI) to determine whether such trainings can be credited for career progression, as well as to confirm that the proposed training is relevant to Afghanistan's civil service reform process, the CSI would be a key local partner to include any future short-term capacity building sessions.

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[97] Project document, p. 22

ANNEX 8

EVALUATOR'S PROFILE

Dr. Annette Ittig is the consultant evaluator for the UNDP Kazakhstan Regional Cooperation Outcome Evaluation. Dr. Ittig is an evaluation and partnership expert with extensive experience in both staff and contractor roles in donor, UN agency and private sector assignments, including with UNDP, UNICEF, UN-Habitat, the World Bank, DPKO, Global Affairs Canada (CIDA) and the MasterCard Foundation, in Afghanistan, Tajikistan, Georgia, Indonesia, Nepal, Ethiopia, Kenya, the UAE and elsewhere. Her most recent country level evaluations are the 2014-2018 Kenya UNDAF and the 2014-2018 UN Women Kenya Country Portfolio evaluations. Her multi-stakeholder partnership and aid effectiveness work also includes the design of the concept for a Kurdistan Regional Government/international extractives companies' Public-Private Partnership for education infrastructure, and the review of the Donor Development Assistance Group Phase IV Project support to Ethiopia's national development plan and the international aid effectiveness agenda. Dr. Ittig received her doctorate from the University of Oxford, England.

Annex 9
Evaluation Consultant Code of Conduct and Agreement Form

Consultant must:

✓ Be responsible for performance and product(s) for the clear, accurate and fair written and/or oral presentation of study findings and recommendations.

✓ Present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.

✓ Reflect sound accounting procedures and be prudent in using the resources of the evaluation.

✓ Consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.

✓ Conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.

✓ Protect the anonymity and confidentiality of individual informants, provide maximum notice, minimize demands on time and respect people's right not to engage.

✓ Must respect people's right to provide information in confidence and ensure that sensitive information cannot be traced to its source and not evaluate individuals.

✓ Be sensitive to beliefs, manners and customs and act with integrity and honesty in relations with all stakeholders in line with the UN Universal Declaration of Human Rights.

✓ Be sensitive to and address issues of discrimination and gender equality.

Evaluation Consultant Agreement Form

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

Name of Consultant: __Annette Ittig_____

Name of Consultancy Organization (where relevant)**: _____**

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation

Signed at *place* on *date*   Nairobi, 31 December 2018   Signature: *Annette Rowse Ittig*