Terminal Evaluation Report

"Sector driven National Adaptation Plan to advance medium- and long-term adaptation planning in Uzbekistan"

(NAP Project)

Project Title	Sector driven National Adaptation Plan (NAP) to advance medium- and long-term adaptation planning in Uzbekistan
Quantum ID	00105927
Corporate Outcome and Output	UNDP Strategic Plan 2018-2021, Signature solution 3: Enhance prevention and recovery for resilient societies; and Output: Data and risk-informed development policies, plans, systems and financing incorporate integrated solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent crisis UNDP Strategic Plan 2022-2025, Signature solution: Resilience
Country	Uzbekistan
Region	RBEC
Date Project Document Signed	12 February 2020
Project End Date	15 November 2023
Project Budget	USD 1,611,944
Project Expenditure at the Time of Evaluation	US$ 1,444,577
Funding Source	Readiness Programme of Green Climate Fund
Implementing Agency	UNDP

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Disclaimer

This report is the work of two independent evaluators and does not necessarily represent the views, or policies, or intentions of the United Nations Development Programme (UNDP) and/or of the Government of Uzbekistan

Executive Summary

This report presents the findings of the terminal evaluation of the project titled "*Sector driven National Adaptation Plan (NAP) to advance medium- and long-term adaptation planning in Uzbekistan*", funded by the Green Climate Fund (GCF) Readiness Programme and implemented by UNDP in close partnership with the Center of Hydrometeorological Services (Uzhydromet) of Uzbekistan. The evaluation was commissioned by the UNDP office in Uzbekistan and was carried out during the period March – May 2024 by a team of two independent experts. The evaluation covered all activities and resource disbursements within the project's lifetime until April 2024. It followed OECD DAC criteria and UNEG norms and standards, using a mixed-methods approach involving document review, interviews, information triangulation, analysis, and synthesis. A total of 34 project stakeholders were engaged in in-depth interviews conducted for this evaluation. The evaluators also had the opportunity to attend a workshop in which the draft adaptation plans were discussed with ministry representatives.

This section of the report provides a summary of the main findings of the evaluation.

Project Design

- The NAP project has been well-structured with a sound logic aligned with national priorities. It has employed an integrated approach addressing institutional, technical, financial, and social dimensions.
- The project has incorporated a strategic, replicable approach through scalability, phased implementation, stakeholder engagement, knowledge sharing, and guideline development.
- Challenges have included the project's ambitious scope given the timeframe and resources, lack of an overarching national adaptation plan, and insufficient time for completion of all planned activities.
- The results framework was generally well-defined with clear outputs and outcomes, though some indicators could be more qualitative/impact-oriented.
- Risks and assumptions were adequately assessed with mitigation strategies proposed. Lessons from previous projects were incorporated into the design.
- Stakeholder participation has been emphasized, though more concrete mechanisms for ongoing engagement would be beneficial. The project linked with other climate change initiatives in Uzbekistan.
- Gender responsiveness has been incorporated through specific objectives, inclusion of women, and gender analysis, but more resource allocation details would be helpful.
- Social and environmental safeguards were included, but monitoring and grievance mechanisms could be strengthened, and greater biodiversity protections emphasized.

Project Implementation

- The project has demonstrated adaptive management by adjusting its approach in response to challenges such as COVID-19 restrictions, procurement issues, institutional changes, and capacity building needs.

- Stakeholder participation and partnerships have been emphasized, with engagement of government agencies, technical experts, civil society, academia, the private sector, and international partners. However, ensuring consistent participation has been a challenge.
- The project's total budget of $1,611,944 has been spent at a 90% execution rate as of 2024. The highest spending occurred in 2023, and Outcome 1 had the highest budget and expenditure. No co-financing was available.
- The project's M&E system has been comprehensive in design, with a results framework, SMART indicators, and plans for reporting and risk management. Implementation included baseline assessments, a project management unit, gender-sensitive indicators, field visits, and regular progress reports. Areas for improvement include greater stakeholder involvement in M&E and more focus on long-term impacts.
- UNDP, as the implementing agency, has provided technical expertise, operational support, capacity building, stakeholder engagement facilitation, and oversight. Uzhydromet, as the executing agency, has provided institutional leadership, technical expertise, and coordination, despite challenges from institutional reforms.
- The project has proactively managed risks related to COVID-19, institutional coordination, capacity and ownership, data and information, and financing. Strengths include regular risk monitoring and review, while areas for improvement include initial underestimation of project complexity and adapting to institutional reforms.
- The project has addressed social and environmental concerns through risk assessments, guidelines for safeguarding communities and the environment, and plans for disseminating learning experiences.

Project Results

- The project is highly relevant to Uzbekistan's environmental and developmental priorities, aligning with national strategies, international commitments, and government reforms that prioritize climate change adaptation. The project also contributes to UNDP, UN, and GCF strategic priorities and several SDGs.
- The project has demonstrated good national ownership through partnerships with government bodies and alignment with national priorities. However, engagement with civil society, the private sector, and local communities could be strengthened.
- The project has made significant progress in strengthening coordination mechanisms, building institutional capacities, conducting vulnerability assessments, developing sectoral and regional adaptation plans, and formulating a financing and investment strategy. Most project targets have been achieved or are on track, though some key documents await finalization and adoption.
- The project faced initial delays due to COVID-19, procurement challenges, and management issues, but progress accelerated under new leadership in 2023-2024. Budget execution reached 90%, and the project sought synergies with other initiatives. Areas for improvement include contingency planning, stakeholder engagement, and capturing lessons learned.
- The project's sustainability is rated as moderately likely overall. Socially, the project aligns with national priorities and has raised awareness. Financially, securing long-term resources

for implementation remains a challenge. Institutionally, the project has enhanced capacities and coordination, but formal adoption of key deliverables is pending. Environmentally, the project contributes to climate resilience, but sustained benefits depend on follow-through by state institutions.

- The project design integrated gender considerations and the team undertook several gender-focused activities. However, the depth of gender mainstreaming in implementation, capacity building, and analysis could be enhanced.
- The project has implicitly addresses human rights, poverty-environment linkages, and benefits to marginalized groups, but more explicit integration of these issues is needed.
- GCF support has been catalytic in enabling the NAP process, strengthening institutions, leveraging resources, promoting innovation, and advancing gender equality in adaptation in Uzbekistan.
- The project has potential for catalyzing adaptation action by strengthening enabling environments, demonstrating approaches, leveraging resources, generating knowledge, and influencing policy. Realizing this potential requires strategies for scaling up and replication.
- The project has contributed to mainstreaming adaptation in national and sectoral planning, strengthening the evidence base for decision-making, and developing tools and methodologies for prioritizing adaptation measures. Challenges remain in securing financing, engaging the private sector, and collecting reliable data for M&E.

The evaluation concluded with the following rating for the project components.

Overall Project Performance Rating

Monitoring and Evaluation	
Overall quality of M&E	S
M&E design at project start up	MS
M&E Plan Implementation	S
IA & EA Execution	
Overall Quality of Project Implementation/Execution	S
Implementing Agency Execution	S
Executing Agency Execution	S
Outcomes	
Overall Quality of Project Outcomes	MS
Relevance	R
Effectiveness	MS
Efficiency	MS
Sustainability	
Overall likelihood of Sustainability:	ML
Financial resources	ML
Socio-economic	L
Institutional framework and governance	ML
Environmental	L
Overall Project Results	**MS**

The evaluation identified the following key recommendations for project stakeholders.

1. **Completing Pending Activities**:

    - The project team, along with UNDP and government partners, should prioritize the completion of all pending activities before the project concludes.

    - Key immediate actions include finalizing the adaptation plans and the financing strategy, and actively advocating for the approval of these plans, including developing a clear roadmap for this approval process.

    - Additionally, it is essential to accurately identify and document any activities that the project will transfer to other UNDP projects or government entities, ensuring these are handed over systematically for continued implementation.

    - The project team and partners involved in the project should review all remaining tasks and assess what can realistically be accomplished before the project's closure. Any tasks that cannot be completed within this timeframe should be transferred to the Ministry of Environment. This transfer should include a detailed action plan that outlines the necessary steps for the completion of these activities, ensuring clarity and continuity in the project's objectives.

2. **Implementation, Scalability and Replication**:

    - The focus of the partners going forward for the area of climate change adaptation should be on the actual implementation of the formulated plans. Implementation will be way more complex than formulation and will require a lot of coordination and resources. The NAP project provides good foundations for continued work on implementation.

    - Any future project in this area should pay greater attention to the issue of sustainability, by developing a clear strategy for scaling successful adaptation initiatives and replicating them in other regions or sectors, ensuring financial, institutional, and community support for broad implementation.

3. **Strengthen Stakeholder Engagement**:

    - Future adaptation projects should increase the engagement of civil society, academia, local communities, and the private sector. Projects like NAP should establish structured mechanisms for active participation of NGOs and academic institutions in the adaptation planning process, not only consulting these groups but integrating their local knowledge and research capabilities into the development of sectoral and regional adaptation plans.

    - The private sector's potential contribution to adaptation efforts should be maximized by actively involving businesses in the development of financing and investment strategies for adaptation. This approach should aim to foster public-

private partnerships, encourage sustainable business practices, and stimulate private investments in climate-resilient initiatives.

- Adaptation projects in the future should actively engage national financial institutions like the Ministry of Economy and Finance from the project inception to ensure alignment with national financial planning and to facilitate the integration of adaptation strategies into national and sectoral budgets.

4. **Focus on Capacity Building**:

    - UNDP should continue and expand capacity-building programs for local institutions, government officials, and stakeholders to ensure the sustainability and effectiveness of climate adaptation measures.

    - This work should include training that includes gender considerations and the specific impacts of climate change on various demographic groups.

5. **Enhance Data Management and Monitoring**:

    - Future work in this area should strengthen data collection and monitoring systems to ensure access to reliable and timely data for decision-making.

    - This could include the development of a centralized platform for adaptation-related data to facilitate effective monitoring and evaluation of adaptation strategies.

6. **Expand Financial Strategies for Long-Term Sustainability**:

    - Future work in this area should focus on developing innovative financing mechanisms, including public-private partnerships, to support long-term sustainability of adaptation measures.

    - It will also be essential to explore and promote market-based mechanisms to engage the private sector in financing and implementing adaptation strategies.

7. **Gender Mainstreaming and Inclusion**:

    - In any similar project in the future, UNDP should conduct a comprehensive gender analysis at the project's outset to guide gender mainstreaming efforts effectively.

TABLE OF CONTENTS

FIGURES

TABLES

BOXES

ACRONYMS AND ABBREVIATIONS

CCA - Climate Change Adaptation
CO - Country Office
DAC - Development Assistance Committee
DIM - Direct Implementation Modality
GCF - Green Climate Fund
GEF - Global Environment Facility
HS - Highly Satisfactory
HU - Highly Unsatisfactory
L - Likely
ML - Moderately Likely
MS - Moderately Satisfactory
MU - Moderately Unsatisfactory
NAP - National Adaptation Plan
NDC - Nationally Determined Contributions
NSSD - National Strategy for Sustainable Development
OECD - Organization for Economic Co-operation and Development
PMC - Project Management Committee
S - Satisfactory
SDG - Sustainable Development Goals
TE - Terminal Evaluation
ToC - Theory of Change
ToR - Terms of Reference
U - Unsatisfactory
UA - Unable to Assess
UNDP - United Nations Development Programme
UNEG - United Nations Evaluation Group
UNFCCC - Agency of Hydrometeorological Services under the Ministry of Ecology, Environmental Protection and Climate Change of the Republic of Uzbekistan

1. INTRODUCTION

This report presents the findings of the terminal evaluation of the project titled "*Sector driven National Adaptation Plan (NAP) to advance medium- and long-term adaptation planning in Uzbekistan*", funded by the Green Climate Fund (GCF) Readiness Programme and implemented by UNDP in close partnership with the Center of Hydrometeorological Services (Uzhydromet) of Uzbekistan.

The evaluation was commissioned by the UNDP office in Uzbekistan and was carried out during the period March – May 2024 by a team of two independent experts. This chapter provides an overview of the objectives and methodology of the evaluation.

1.1. Purpose of the Evaluation

The evaluation was conducted to determine how beneficiaries benefited from the project interventions, identify lessons learned for improving the sustainability of benefits, and enhance overall UNDP programming. It assessed project performance against the results framework and considered pertinent outcomes and outputs focused on advancing medium- and long-term adaptation planning in Uzbekistan. The evaluation examined the project's processes, strategic partnerships, and linkages in the country's context, as well as factors that facilitated or hindered progress, including external risks, the pandemic crisis, and internal weaknesses in design, management, implementation, skills, and resources. This evaluation report is intended to serve as an accountability tool for stakeholders and provide specific recommendations to inform future programming and resource mobilization.

1.2. Evaluation's Scope and Methodology

The evaluation's scope encompassed all activities and resource disbursements that took place within the project's lifetime until the point of this evaluation (April 2024). The ToR that guided the evaluation process are attached in Annex I of this report. The evaluation focused on the following key aspects of the project, as required by the evaluation ToR:

- Project design and its effectiveness in achieving stated objectives.
- Assessment of key financial aspects, including planned and realized budgets, co-financing, etc.
- The project's effectiveness in building the capacity of local institutions and strengthening policy frameworks to encourage sustainable development.
- Strengths and weaknesses of project implementation, monitoring and adaptive management and sustainability of project outcomes, including the project's exit strategy.
- Recommendations, lessons learned, best practices that may be used in similar UNDP and GFC projects.

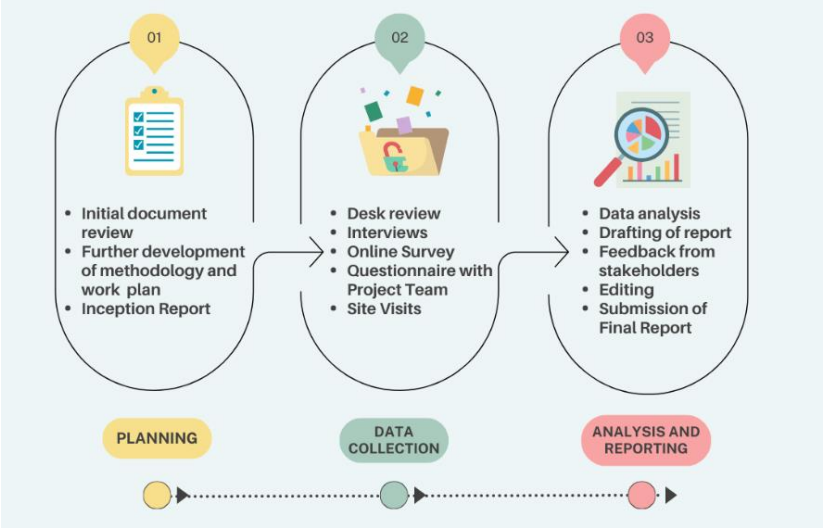
The evaluation used OECD DAC criteria and definitions followed the norms and standards established by the United Nations Evaluation Group (UNEG). It was guided by UNDP's and GEF's evaluation guidelines, and in particular:

- "*Handbook on Monitoring and Evaluation for Development Results*"[1]
- "*Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects*"[2]

The methodology was based on mixed methods and involved the use of commonly applied evaluation tools such as documentary review, interviews, information triangulation, analysis and synthesis. A participatory approach was taken for the collection of data, formulation of recommendations and identification of lessons learned.

Evaluation activities were organized according to the following stages: i) planning; ii) data collection; and, iii) data analysis and reporting. Figure 1 below shows the three stages and the main activities under each of them.

Figure 1: Evaluation Stages



Evaluation Planning

Key project documentation was provided by the project team through a shared drive, and the evaluation team conducted a preliminary review. A preliminary evaluability analysis showed that the project's outputs, indicators, baselines and the available data provided by the project team allowed for an effective evaluation of the project. The evaluability analysis was underpinned by the evaluation matrix included in Annex III of this report.

Data Collection

The data collection process involved further reviewing of the project documentation and semi-structured interviews with stakeholders and partners (see Annex IV for a list of interviewees

[1] http://web.undp.org/evaluation/handbook/documents/english/pme-handbook.pdf
[2] https://erc.undp.org/pdf/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf

and Annex V for a list of data sources). The data collection process also involved a questionnaire with the project team consisting of several parts. Specifically, the data collection process consisted of the following components:

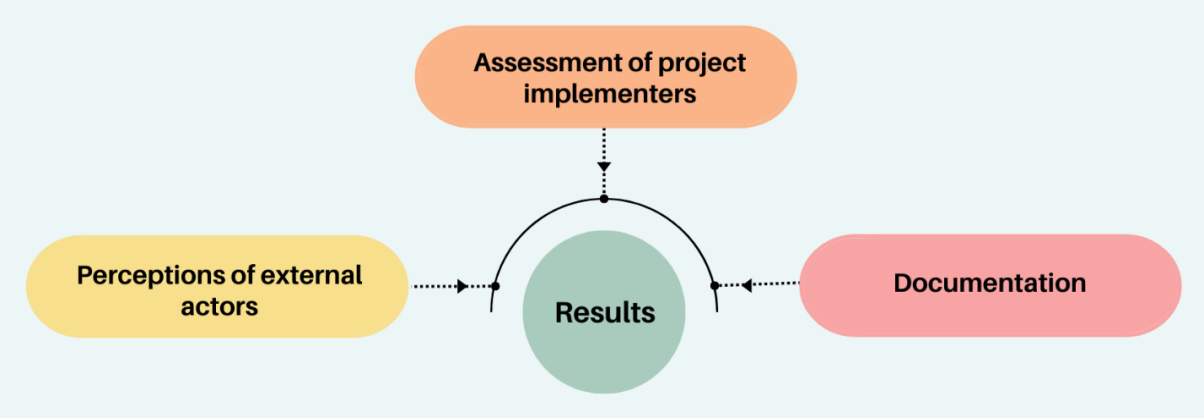
- ***Documentary Review*** - The evaluation team completed the analysis of all the relevant documents, project documents and progress reports, as well as country development policies and strategies (shown in Annex V).
- ***Semi-structured Interviews*** – A total of 34 interviews were conducted for this evaluation. The evaluators also had the opportunity to attend a workshop in which the draft adaptation plans were discussed with ministry representatives. The list of stakeholders that were interviewed for this evaluation is provided in Annex IV. The sampling strategy used for the identification was purposive – focusing on the stakeholders with the most interaction and most knowledge of the project activities across various stakeholder categories – both at the national and subnational levels. All the three regions where the project was implemented were targeted in the data collection approach. The list was discussed and agreed with UNDP and the project team and updated accordingly. Interviews involved key stakeholders – in particular, project team and board members, government partners, UNDP Country Office (CO) staff, national experts, etc.
- ***Field Mission*** – Field work was conducted in all three pilot regions covered by the project (Bukhara, Khorezm and the Republic of Karakalpakstan). In each region, meetings in these regions included all five departments responsible for all five adaptation areas covered by the project. The observations and interviews that took place during the field visit enabled the evaluation team to better assess project implementation and stakeholder perception.

The data collection process took into account gender considerations. Additionally, efforts were made to utilize data sources and methods that promoted the inclusion of a diverse set of stakeholders, including those who are most vulnerable.

Data Analysis

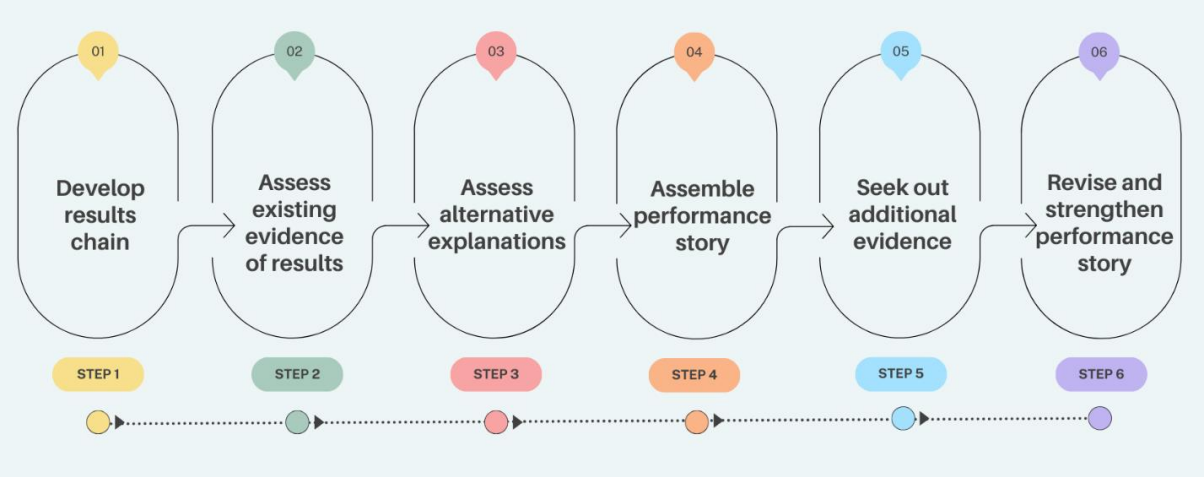
Information obtained through the document review and interviews was triangulated against available documented sources, and then synthesized using analytical judgement. The method of triangulation is shown in Figure 2 below. This helped ensure that the evaluation results are reliable, accurate, and representative of the project's overall performance.

Figure 2: Method of Triangulation



Some basic questions that were used in the analysis of the collected information are shown in Annex II of this report. Figure 3 shows the steps that were taken for the analysis.

Figure 3: Steps in Analysis Process



The analysis was conducted on the basis of standard criteria of evaluations such as relevance, coherence, effectiveness, efficiency, sustainability, etc.

- ***Relevance,*** covering the assessment of how the project relates to the main objectives of the UNDP Country Programme, and to the development priorities at the local, national, and global level;
- ***Effectiveness,*** covering the assessment of the extent to which the expected outcomes and objectives of the project been achieved in a timely and cost-effective manner;
- ***Impact***, covering the assessment of the extent to which the project has contributed to, or enabled progress toward reduced environmental stress and/or improved ecological status;
- ***Efficiency,*** covering the assessment of the quality of project implementation and adaptive management; adequacy of planning and financial management; the quality of monitoring and evaluation; the contribution of executing agencies in ensuring efficient implementation;
- ***Sustainability,*** covering likely ability of the intervention to continue to deliver benefits for an extended period of time after completion.

The analysis covered aspects of the project's design, including the extent of stakeholder participation during the formulation; replication approach; design for sustainability; linkages between the project and other interventions within the sector or in the beneficiary countries; adequacy of management arrangements, etc.

Cross-cutting Issues

The evaluation team used gender-responsive methodologies and tools and ensured that gender equality and women's empowerment, as well as other cross-cutting issues and Sustainable Development Goals (SDG) are incorporated into the evaluation report. The evaluators assessed the project's approach to gender, including how gender considerations were incorporated into project design, implementation, monitoring and evaluation. It examined gender-disaggregated data collected by the project or the evaluation exercise. The evaluation team interviewed project stakeholders and beneficiaries to gather perspectives on how the project impacted women and men differently. The TE also examined the inclusion of other vulnerable groups in project activities, including persons with disabilities, and other disadvantaged and marginalized groups. Table 1 below shows the scale used to rate the various dimensions of this evaluation.

Table 1: Rating Scale

Scale Rating	Description
6 = Highly Satisfactory (HS)	There were no shortcomings; quality of implementation/execution exceeded expectations
5 = Satisfactory (S)	There were no or minor shortcomings; quality of implementation/execution met expectations.
4 = Moderately Satisfactory (MS)	There were some shortcomings; quality of implementation/execution more or less met expectations.
3 = Moderately Unsatisfactory (MU)	There were significant shortcomings; quality of implementation/execution was somewhat lower than expected
2 = Unsatisfactory (U)	There were major shortcomings; quality of implementation/execution was substantially lower than expected
1 = Highly Unsatisfactory (HU)	There were severe shortcomings in the quality of implementation/execution
Unable to Assess (UA)	The available information does not allow an assessment of the quality of implementation and execution

Table 2 below shows the scale used to rate the various dimensions of the project's sustainability. This, as well, is the standard scale used in GEF-funded projects.

Table 2: Sustainability Rating

Ratings	Description
4	Likely (L) There are little or no risks to sustainability
3	Moderately Likely (ML) There are moderate risks to sustainability
2	Moderately Unlikely (MU) There are significant risks to sustainability
1	Unlikely (U) There are severe risks to sustainability
Unable to Assess	Unable to assess the expected incidence and magnitude of risks to sustainability

1.3. Evaluation Limitations

All possible efforts were made by the evaluation team to minimize the limitations of this evaluation.

1.4. Ethical Considerations

This evaluation was conducted in accordance with the principles outlined in the UNEG "*Ethical Guidelines for Evaluations*". The evaluators have safeguarded the rights and confidentiality of information providers, interviewees, and stakeholders through measures that ensure compliance with legal and other relevant codes governing data collection and reporting. The consultants have also ensured security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process is solely used for the evaluation and not for other uses with the express authorization of UNDP and partners.

1.5. Report Structure

The evaluation report begins with an overview of the evaluation objectives and methodology (current chapter). The second chapter provides a description of the project and the country context (following chapter). The third chapter presents the main findings of the report and consists of three parts: assessment of project design and formulation; assessment of project implementation; and, assessment of the results along the standard dimensions of relevance, ownership, effectiveness, efficiency and sustainability. The fourth chapter identifies key "lessons learned", whereas the following (fifth) summarizes the main conclusions. The last (sixth) chapter provides a set of recommendations. Additional information is provided in the annexes attached to this report.

2. DEVELOPMENT CONTEXT AND PROJECT DESCRIPTION

2.1. Project Start and Duration

The NAP project was endorsed by the GCF in November 2019. The Project Document was signed on 17 August 2020, which marked the effective start date of the project. An Inception Workshop was held online on 3 December 2020. The NAP Project Board, which convened on 9 August 2023, approved a six-month extension of the project, from November 16, 2023, to May 14, 2024.

Table 3: Project Milestones

Milestone	Date
Project endorsement by GCF	November 2019
Project Document Signature Date (project start date)	17 August 2020
Project Inception Workshop	3 December 2020 (online)
First Project Board Meeting	2 February 2021
Extension approval	9 August 2023
Expected date of Terminal Evaluation	May 2024
Planned Closing Date (including extension)	14 May 2024

2.2. Development Context[3]

Warming trends observed in Uzbekistan since 1951 have occurred at more than twice the global average for this time period and significant climate risks are already evident. Reductions in water resources and changing precipitation patterns are predicted to further exacerbate prolonged droughts and extreme weather events. Water shortages, along with water and soil salinity and erosion, are already serious issues. About 20% of the country's population (6 million people) is currently affected by water salinization. The situation is further worsened by the continuing disappearance of the Aral Sea that has lost 57% of its surface area, 80% of its volume and 64% of its depth in the past four decades. The Aral Sea basin is now a salt desert called Aralkum that affects the entire country's ecology. Aridity is also expected to increase across the entire country, most notably in the west.

In addition, water scarcity is expected to significantly worsen due to the projected reduction in water resources. The country's water deficit, 2,000 m3 in 2005, is predicted to rise to 7,000 m3 by 2030 and to 13,000 m3 by 2050. This deficit will impact agriculture, particularly the production of cotton - one of the country's major exports. When the effects of water shortages are considered, climate change is expected to reduce all crops yields by 20–50% through 2050.

The population with lowest income of Uzbekistan lives in the most arid parts of the country, is dependent on subsistence agriculture, and is facing increased vulnerability to changes in

[3] This section relies primarily on information from the Project Document and the Terms of Reference of the evaluation.

climate conditions and natural resources availability. Given this, the government has recognized the urgent need for climate change adaptation measures.

The Government of the Republic of Uzbekistan has recognized the vital role of hydrometeorological services in multiple sectors such as agriculture, energy, transportation, and environmental conservation. The improvement of these services has required not just a qualitative upgrade, but also an expansion of their reach across the nation. This has been set to be accomplished through comprehensive digitalization and automation of hydrometeorological and agrometeorological stations, leading to increased efficiency and broader network coverage across the country's expanse. Moreover, the Government has proposed a sustainable model that hinges on commercialization, aiming to enable hydrometeorological services to cater to a broader array of end-users, thereby boosting their viability and long-term impact. Additionally, the Government has underscored the need to invest in the development of hydrometeorological science and to enhance the capacity of Uzhydromet staff. Initiatives for training and advanced training have been deemed crucial to equip specialists with modern skills and knowledge. This comprehensive approach is aiming not just to enhance the quality and reach of hydrometeorological services, but also to ensure their sustainability, while simultaneously building human capital in the sector.

2.3. Problems Targeted by the Project

The project was designed to addresses several critical problems and challenges associated with climate change adaptation in Uzbekistan. These problems span institutional, technical, financial, and social dimensions, reflecting the complex nature of climate adaptation planning. The following is a summary of the key problems targeted by the project.[4]

- ***Inadequate Institutional Frameworks for Climate Adaptation***: There is no single institution charged with coordinating climate change adaptation efforts across various sectors and levels of government, leading to fragmented and uncoordinated actions. Also, climate change adaptation is not sufficiently integrated into national and sectoral development planning and budgeting processes, making it difficult to align long-term climate resilience with economic and social development goals.

- ***Limited Capacity for Climate Adaptation***: NAP stakeholders in Uzbekistan, including government bodies and sector-specific agencies, lack the necessary technical expertise and information to effectively plan and implement adaptation strategies. There is also a significant need for capacity building and training to enhance understanding and skills related to climate adaptation among key actors.

- ***Weak Evidence Base for Decision Making***: There is a lack of comprehensive and consolidated climate and environmental data in the country, which limits the ability of

[4] The project's primary goal was to develop National Adaptation Plans for the five sectors most vulnerable to climate change impacts in Uzbekistan (agriculture, water resources, health, housing/buildings, and emergency management) and for three target regions (Republic of Karakalpakstan, Bukhara and Khorezm provinces). The project also aimed to strengthen the national coordination mechanism and build capacity for multi-sectoral adaptation planning and implementation at different levels.

decision-makers to make informed decisions regarding climate risks and adaptation needs. While some sectors have undergone vulnerability assessments, others, like health and emergency management, lack detailed analysis, which is essential for tailored adaptation measures.

- ***Financial Constraints***: There is also a gap in sustainable financial mechanisms to fund long-term adaptation initiatives. This includes the absence of specific budget allocations for adaptation, which impedes systematic funding and implementation of adaptation measures. Furthermore, there is limited engagement and investment from the private sector in climate adaptation efforts, which is crucial for diversifying and enhancing the financial resources available for adaptation.

- ***Social and Gender Inequities in Adaptation Efforts***: Those who are most vulnerable to climate impacts are also the least involved in planning and decision-making processes. Therefore, there is a need for more inclusive and participatory approaches to ensure that adaptation planning and actions are equitable and benefit all segments of the population.

- ***Policy and Regulatory Barriers***: Existing policies do not comprehensively address the multifaceted aspects of climate change and adaptation needs, often focusing narrowly on specific issues like air quality or water management without a broader climate resilience perspective. There is also a mismatch between national policies and local implementation capabilities and needs, which can hinder effective adaptation measures at the community level.

The NAP project was designed to address these problems through a strategic approach that included strengthening institutional capacities, enhancing the evidence base, developing financing strategies, and ensuring gender and social inclusivity in adaptation planning.

2.4. Immediate and Development Objectives

As part of Uzbekistan's response to address the above challenges, the NAP project has targeted the adaptation planning process for priority climate-sensitive sectors and regions in Uzbekistan through implementation of three flows of activities that need to be coordinated and consolidated in climate change adaptation context that shall produce main expected outcomes by the project. The project was funded by the Readiness Programme of Green Climate Fund and implemented by UNDP in Uzbekistan.

The project's overall objective was to advance the adaptation planning process for priority climate-sensitive sectors and regions in Uzbekistan. It was designed to address the following problem – despite progress to address climate change in recent years, climate change adaptation is not sufficiently integrated into the Republic of Uzbekistan's development planning and budgeting processes. Barriers limiting the effective advancement of iterative adaptation planning in Uzbekistan were identified through the review of existing documentation, consultations with key national stakeholders, and a stakeholder-validated stock-taking exercise conducted in October 2016.

In order to accomplish the overall objectives to advance medium and long-term adaptation planning, project activities were designed under three components (outcomes).

- Outcome 1: The coordination mechanism for multi-sectoral adaptation planning and implementation at different levels is strengthened: To identify barriers to integration of climate change adaptation into development planning and budgeting, and subsequently build capacity of key stakeholders to effectively plan for and monitor adaptation in Uzbekistan.
- Outcome 2: The evidence base for adaptation planning is strengthened and adaptation is prioritized into national and sectoral planning and budgeting: To consolidate existing climate information and put in place a system for science-backed, economic analysis of adaptation options, to enable informed decision making in climate change adaptation in the country.
- Outcome 3: An adaptation financing and investment strategy for Uzbekistan is developed: To identify options to sustainably finance the NAP process in Uzbekistan and engage the private sector in supporting adaptation.

2.5. Theory of Change

A Theory of Change (ToC) was developed for the project at the stage of project formulation. Overall, the TOC outlines a logical and coherent pathway from inputs to long-term impacts, supported by a set of realistic assumptions. It provides a framework for understanding how the project's activities could lead to the desired outcomes and impacts, contingent on certain assumptions holding true.

The Theory of Change is that was developed for this evaluation is presented in the box below.

Box 1: Project's Theory of Change

The project's TOC is designed as follows:

Goal: Effective integration of Climate Change Adaptation (CCA) into national and subnational coordination, planning, and budgeting processes, enabled via strengthened institutional and technical capacities and iterative National Adaptation Plan (NAP) development.

Outcomes:

1. **Outcome 1:** The coordination mechanism for multi-sectoral adaptation planning and implementation at different levels is strengthened.
    - **Sub-outcome 1.1:** Capacities of the NDA (National Designated Authority) and sectoral partners are strengthened to steer the climate change coordination and integration process and adaptation framework initiated.
    - **Sub-outcome 1.2:** Institutional barriers to the integration of climate change into development planning and policies are reviewed and key stakeholders are sensitized to climate change adaptation and development planning.
    - **Sub-outcome 1.3:** Capacities for regularly monitoring, updating, and reviewing adaptation actions are enhanced.
2. **Outcome 2:** The evidence base for adaptation planning is strengthened and adaptation priorities are integrated into national and sectoral planning and budgeting.
    - **Sub-outcome 2.1:** Climate data is consolidated for the five priority sectors, and vulnerability assessments are conducted for the health sector.

- **Sub-outcome 2.2:** Systems for economic analysis and approval of priority adaptation options are strengthened.
- **Sub-outcome 2.3:** Priority interventions are integrated into national and sectoral planning and budgeting.

3. **Outcome 3:** Adaptation financing and investment strategy for Uzbekistan is developed.
   - **Sub-outcome 3.1:** A NAP financing and investment strategy on initial priority sectors considering specific impacts and vulnerabilities is developed through a consultative process with equal representation of women.
   - **Sub-outcome 3.2:** Private sector engagement in CCA is strengthened.

Barriers:

- Lack of framework to govern climate change; limited technical skills and institutional capacity.
- Weak knowledge base on climate change; no harmonized data collection and distribution.
- Limited capacity to monitor CCA and inform policies and laws.
- Limited mainstreaming of CCA into planning and budgeting.

Problem Statement: Climate change adaptation is insufficiently integrated into national development planning.

Risks: The proposal envisages key potential organizational, financial, and political risks in the successful and timely implementation of this project. Potential risks include: a) Problems related to involvement and cooperation of stakeholders to provide the project team with data from ongoing and past interventions, historical climatic data, lessons, etc. b) Government will not have funds to sustain the national arrangements after the completion of this project. c) Conflicts among stakeholders regarding their roles in the project resulting in potential duplication of efforts. d) Lack of political will to support the project. e) Limited capacity within relevant ministries and/or insufficient qualified human capacity. f) Exclusion of vulnerable or affected stakeholders from fully participating in the project and decisions that may affect them. A set of countermeasures as a response to these risks is proposed as part of Annex III and designed into the proposal to minimize the impacts of these potential risks.

2.6. Expected Results

The NAP project was designed to integrate climate change adaptation into national and sectoral development processes, ensuring comprehensive and sustainable management of climate-related risks. The following is a list of the project's expected results categorized by the project's specific outputs and their corresponding outcomes.

Box 2: Project's Expected Outcomes

The following are the project's main outcomes and outputs based on the Project Document:

Outcome 1: Strengthened Multi-Sectoral Coordination and Planning

Outputs:

1. **Established Coordination Mechanism**: Implementation of a robust governance structure across various sectors and administrative levels to facilitate effective climate change adaptation planning.
2. **Developed Institutional Capacities**: Increased capability of key institutions and stakeholders through targeted training programs and workshops, focusing on climate adaptation planning and implementation.

Outcome 2: Enhanced Evidence Base for Adaptation Planning

Outputs:

1. **Conducted Comprehensive Vulnerability Assessments**: Detailed assessments in vulnerable regions and sectors to identify specific risks and adaptation needs.
2. **Strengthened Climate Information Systems**: Enhanced systems for collecting, managing, and disseminating climate and weather data to support informed decision-making.

Outcome 3: Developed Adaptation Financing and Investment Strategy

Outputs:

1. **Formulated Financing Strategies**: Identification and development of sustainable financing mechanisms, including the mobilization of private sector investments and public-private partnerships.
2. **Integrated Adaptation into National Budgeting and Planning Processes**: Climate adaptation measures and strategies are incorporated into national and sectoral budgeting and planning frameworks.

Sub-Results under Each Outcome:

Strengthened Multi-Sectoral Coordination and Planning

- **Barriers Identified and Addressed**: Identification and mitigation of institutional and policy barriers to effective climate adaptation planning.
- **Inter-agency Collaboration Enhanced**: Improved collaboration and synergy among various government agencies and stakeholders through regular coordination meetings and joint action plans.

Enhanced Evidence Base for Adaptation Planning

- **Sector-Specific Adaptation Plans Developed**: Creation of actionable adaptation plans for critical sectors such as agriculture, water resources, health, and infrastructure.
- **Research and Development Promoted**: Support for academic and scientific research to fill gaps in existing climate knowledge and inform future adaptation strategies.

Developed Adaptation Financing and Investment Strategy

- **Resource Mobilization**: Increased availability of financial resources dedicated to climate adaptation from both national and international sources.
- **Economic Analysis Tools Implemented**: Adoption of economic tools and frameworks to evaluate the costs and benefits of various adaptation options, ensuring efficient allocation of resources.

Cross-Cutting Expected Results:

- **Increased Public Awareness and Engagement**: Enhanced understanding and involvement of the public and local communities in climate change adaptation efforts through education, outreach, and participatory processes.
- **Policy Integration**: Climate change adaptation considerations are integrated into broader environmental, economic, and social policies.
- **Gender and Social Inclusivity**: Special emphasis on including gender-sensitive approaches and ensuring the participation of marginalized and vulnerable groups in adaptation planning and actions.

2.7. Total Resources

The total budget contributed by GCF for the NAP project was USD 1,611,944. This grant was the only source of funding for the project's implementation.

2.8. Main Stakeholders and Partners

The NAP project was designed to integrate climate change adaptation into Uzbekistan's developmental planning involving an array of stakeholders, each playing a role in its implementation process. The following are the main stakeholders involved in project activities.

Government Agencies

- ***Agency of Hydrometeorological Services (Uzhydromet)***: Uzhydromet has served as the main government implementing entity of the project (executing agency) throughout the project's lifetime. Uzhydromet is Uzbekistan's agency responsible for meteorological and hydrological services, climate data collection, and coordination of climate adaptation activities across government platforms. In December 2022, Uzbekistan underwent administrative reforms that resulted in the transformation of Uzhydromet, which was initially under the Cabinet of Ministers of the Republic of Uzbekistan. As part of these reforms, Uzhydromet was re-established as an agency under the Ministry of Natural Resources. Subsequently, in May 2023, the Ministry of Natural Resources was renamed the Ministry of Ecology, Environmental Protection and Climate Change.
- ***Ministry of Ecology, Environmental Protection and Climate Change***: The Ministry was reformed and rebranded during the implementation of the NAP project with the aim of intensifying the government's efforts in tackling environmental issues, a reflection of the increasing priority given to ecological and climate concerns in national policy. While Uzhydromet has been the main government counterpart for the NAP project, the Ministry took an increasing engagement with the NAP project and is expected to be the main government counterpart in future adaptation activities.
- ***Ministry of Emergency Situations***: Engaged in policy development and implementation concerning disaster risk reduction and emergency response, which are closely tied to climate adaptation strategies.
- ***Ministry of Water Resources***: Critical for water-related adaptation measures, especially in a region facing significant water scarcity issues.
- ***Ministry of Health***: Important for integrating public health considerations into adaptation planning, ensuring that health sector vulnerabilities to climate change are addressed.
- ***Ministry of Agriculture***: Played a key role in adapting agricultural practices to changing climatic conditions, crucial for food security and rural livelihoods.

Sub-national Governments

- ***Government Departments in Karakalpakstan, Bukhara, and Khorezm***: The three regions were prioritized within the project due to their high vulnerability to climate

impacts. Therefore, government entities in these regions were essential for the formulation of region-specific adaptation plans.

2.9. Evaluative Context

A Mid-Term Review was not carried out for this project, and no other implementing partner has evaluated this or a closely linked project.

3. FINDINGS

The findings of this evaluation are organized in the following sections: i) Project Design; ii) Project Implementation; and, iii) Project Results.

3.1. Project Design

This section examines the project's logic and design features by focusing on the adequacy of the project's logic, results framework, management arrangements, identification of risks and assumptions, use of lessons learned from other projects, linkages with relevant UNDP or donor projects, gender responsiveness, planned stakeholder engagement, and social and environmental safeguards.

3.1.1. Analysis of Project Logic and Planning

The NAP project had a significant focus on the development of Uzbekistan's policy framework for climate change adaptation. It was conceived as an "*preparatory*" project, using GCF funding to support Uzbekistan's preparation of the national climate change adaptation strategy and institutional infrastructure. It was intended to be part of a 'phased' approach (as per GCF direction in 2018) with a second phase tying up the sectoral and regional plans into a National Adaptation Plan. As such, the project did not include infrastructure components or pilots (so-called, *hard components*), but focused entirely on policy development and trainings.

The design of the NAP project was well-structured, based on a sound logic and planning framework. The project is well-aligned with Uzbekistan's national priorities and sustainable development goals, ensuring relevance and support at the highest governmental levels. This alignment fosters an enabling environment for effective implementation and policy integration, enhancing the project's sustainability and impact.

The NAP project was designed to employ an integrated approach to climate change adaptation by addressing institutional, technical, financial, and social dimensions.

- ***Institutional***: Establishing coordination mechanisms and strengthening governance structures to support adaptation planning across various sectors.
- ***Technical***: Enhancing the evidence base through vulnerability assessments and strengthening climate information systems.
- ***Financial***: Developing sustainable financing mechanisms and engaging the private sector to support long-term adaptation measures.
- ***Social***: Emphasizing inclusivity and gender sensitivity to ensure that adaptation benefits are equitably distributed and sensitive to the needs of vulnerable populations.

The NAP project incorporates a strategic approach, which enables the project to be replicable and scalable. Replication is essential for expanding the impact of successful initiatives,

allowing other regions and sectors to benefit from proven strategies. A more detailed outline of this can be found in the following box.

Box 3: Project's Replication Approach

Key features of the project's replication approach include:

1. **Scalable and Flexible Framework**: The NAP project was structured to allow flexibility in its execution, which has been crucial for adapting the strategies to different environmental, socio-economic, and institutional contexts. This flexibility has improved the project's likelihood for replication across other sectors and regions in the future.

2. **Phased Implementation**: By focusing in prioritized regions like the Republic of Karakalpakstan, Bukhara, and Khorezm, the NAP project has tested the formulation of adaptation strategies in diverse settings. This approach allowed national stakeholders to assess the effectiveness of specific interventions before wider application, providing a model that can be replicated in other sectors and regions based on observed successes and necessary adjustments.

3. **Stakeholder Engagement and Capacity Building**: A crucial aspect of the project's replication potential lies in its emphasis on building local capacities and engaging a broad range of stakeholders. By empowering local institutions through training and participatory planning processes, the NAP project has promoted local ownership and develops skills that are transferable to other sectors and regions.

4. **Knowledge Sharing**: The NAP project has emphasized the importance of sharing knowledge throughout the implementation process. This information is key for replicating the project, as it provides a knowledge base that can inform similar initiatives in the future.

5. **Development of Guidelines and Best Practices**: The creation of guidelines and best practices based on the project's outcomes is another key feature. These resources serve as a model for other sectors and regions looking to formulate similar adaptation plans.

The planning process presented in the Project Document involved stakeholder engagement, including government agencies, local communities (to some extent), the private sector, and non-governmental organizations. This inclusive approach ensured that the project addressed real needs, which down the road contributes to the likelihood of the formulation of adaptation strategies in other sectors and regions.

While the design of the NAP project had a number of positive features noted above, participants of this evaluation also identified several challenges pertaining to the way the project was conceived. The following are some challenges brought to the attention of the evaluation team by the evaluation participants.

- The project's design was ambitious in terms of the number of sectors, regions, and activities to be covered within the given timeframe and resources. The sectors covered by the project are quite broad and complex from a climate change adaptation perspective, and the project team found it difficult to address all these sectors – and in addition to them three large

regions – adequately within the project's framework and resources.[5] Similarly, the three regions targeted by the project are very large in terms of area and population and involve significant complexity in the area of climate change. The project team found it challenging to address all the planned deliverables with the necessary depth and quality, leading to delays in some outputs. Moreover, the project's emphasis on delivering tangible adaptation plans and investment strategies may have underestimated the time required for capacity building, institutional strengthening, and creating an enabling environment for adaptation planning.

- The design of the NAP project did not envisage the formulation of an overarching national adaptation plan that cuts across sectors and regions. This is something that could be further developed down the road. The usefulness of such a plan lies in the fact that the sectors involved in the NAP project are interconnected and interdependent, with climate change impacts and adaptation measures in one sector having cascading effects on others. For example, changes in water availability and quality due to climate change can have significant implications for agriculture, energy production, human health, and ecosystems, requiring coordinated and integrated adaptation responses across multiple sectors and levels of governance.

- Moreover, the allocated time for implementing all planned activities proved insufficient. Near the end of the project, the team was still working on completing several activities, and the approval of key policy instruments, including the adaptation plans developed under the project, was pending. Based on this, 6 months extension has been obtained to complete the ongoing works. This experience highlighted the complexity of policy development, which requires extensive stakeholder consultation. Although the COVID-19 crisis significantly impacted the project, it is important to note that NAP processes are still in the early stages in Uzbekistan, and the subject is relatively new for most stakeholders, including policymakers. Furthermore, key partners involved in climate change adaptation have varying levels of awareness and capacity, requiring different levels of support.

3.1.2. Analysis of Resource and Results Framework

The project's logical framework is generally well-defined, with clear outputs, outcomes, and a long-term goal. As noted in the project's reconstructed ToC in previous sections of this report, each component of the results framework was designed to contribute directly to the overarching objective of integrating climate adaptation into developmental planning, with specific, measurable targets that facilitate monitoring and evaluation. Outputs such as established coordination mechanisms, developed institutional capacities, and formulated financing strategies were directly connected to the project's intermediate outcomes. Also, outcomes were designed to build systemic capabilities, such as strengthened multi-sectoral coordination and

[5] The sectors selected for the NAP project in Uzbekistan - natural resources, water, agriculture, energy, health, tourism, and human settlements - are indeed very broad and complex from a climate change adaptation perspective. Each of these sectors encompasses a wide range of sub-sectors, stakeholders, and institutions, with diverse and often competing interests, priorities, and capacities.

enhanced evidence bases, which directly contribute to the broader impact of improved resilience and sustainable management of natural resources.

The analysis of the indicators, summarized in the box below, shows that they generally meet the SMART criteria.[6] However, while the results framework's indicators generally provide a solid foundation for measuring progress, they are often binary in nature. They could be improved by additional qualitative or impact-oriented indicators to capture a more nuanced picture of the project's progress and effectiveness. This would offer a more comprehensive understanding of not only what has been achieved, but also the quality and sustainability of those achievements.

Box 4: Assessment of Project Indicators

The following is a brief analysis of the indicators of the NAP project:

1. **Coordination Mechanism Indicators**:
    - **Indicator**: A participatory Inter-Agency Working Group established and is operational.
    - **Assessment**: This is a binary indicator, which confirms the establishment of the working group but lacks depth in measuring the quality or effectiveness of its operation. It would benefit from additional indicators that assess the group's functionality, frequency of meetings, decision-making impacts, or specific outputs.

2. **Framework for Adaptation**:
    - **Indicator**: Framework for adaptation drafted and validated.
    - **Assessment**: While this indicator provides a clear yes/no answer on whether a framework has been drafted and validated, it doesn't measure the implementation or integration of the framework into existing systems. It could be enhanced by indicators that measure the extent to which the framework is applied in practical adaptation planning and decision-making processes.

3. **Capacity Building for CCA**:
    - **Indicator**: # of staff (% female) trained for CCA integration
    - **Assessment**: This quantitative indicator is strong as it measures both the reach (number of staff trained) and inclusivity (gender ratio) of capacity-building efforts. However, it could be supplemented with indicators evaluating the effectiveness of the training (e.g., through pre- and post-training evaluations) or the subsequent application of learned skills in participants' work.

4. **Reviewing Institutional Barriers**:
    - **Indicator**: # of analysis of barriers conducted and # of recommendations validated at workshop
    - **Assessment**: These indicators measure both the analytical work conducted and the validation of recommendations, which are crucial for ensuring that the findings are actionable and agreed upon by stakeholders. However, the impact of these validated recommendations on policy changes or practical adaptations could also be tracked.

5. **Monitoring and Reporting Capacities**:
    - **Indicator**: # of CCA indicators developed and integrated into national database
    - **Assessment**: This indicator is specific and measurable, focusing on the development and integration of CCA indicators into national databases. Additional indicators could

[6] Specific, Measurable, Attainable, Relevant, Time-Bound.

include the usage of these indicators in policy-making or their impact on improving adaptation actions.

6. **Evidence Base and Advocacy**:
    - **Indicator**: Best adaptation practices and lessons learned compiled and publicly accessible.
    - **Assessment**: This is a binary indicator, which confirms whether adaptation practices have been compiled and made accessible. It could be enhanced by measuring the actual utilization of these practices by stakeholders or their influence on policy and practice.

7. **Economic Analysis and Appraisal Systems**:
    - **Indicator**: # of stakeholders (% female) trained on appraisal of adaptation options using economic analysis of their unintended impacts
    - **Assessment**: This indicator effectively measures the reach and inclusivity of training. To augment its utility, effectiveness indicators such as changes in the quality of economic analyses conducted by these stakeholders post-training could be included.

8. **Integration into Planning and Budgeting**:
    - **Indicator**: CCA indicators aligned with national development priorities, NDC, and SDGs.
    - **Assessment**: While confirming alignment with broader strategic priorities, this indicator does not measure the actual integration into daily operations and decision-making processes within sectors. Indicators measuring specific instances or the extent of integration could provide deeper insights.

9. **Adaptation Financing and Investment Strategy**:
    - **Indicator**: NAP financing and investment strategy developed and validated.
    - **Assessment**: Similar to the other binary indicators, while it confirms the existence of a strategy, it lacks depth in evaluating the effectiveness or the implementation of the strategy. Indicators related to the mobilization of funds or the implementation rate of financed projects would be useful additions.

Overall, the Results Framework is adequate, captures key intended results, and provides a good basis to track the project's progress. With some exceptions noted above, it provides a good basis for assessing achievement of project objectives.

3.1.3. Assumptions and Risks

The following table summarized the risks, assumptions, impacts, and mitigation strategies associated with the climate change adaptation planning project in Uzbekistan, as identified in the NAP project document.

Table 4: Identified Risks and Assumptions

Risks	Assumption	Impact	Mitigation/Countermeasure
Political Instability	Changes in government or priorities	May disrupt project continuity and support	Build relationships at multiple government levels, align project with long-term goals
Economic Fluctuations	Reduction in funding due to	Affects national funding and	Diversify funding sources, include economic resilience measures

	economic downturns	private investments	
Insufficient Stakeholder Engagement	Lack of involvement from key groups	Hinders relevance and effectiveness of the project	Develop inclusive engagement strategies, maintain regular communication
Technical Challenges	Local capacity insufficient to sustain initiatives	Leads to suboptimal outcomes	Enhance local capacity building, provide practical training and technology transfer
Cultural and Social Barriers	Resistance to new practices due to cultural norms	Impedes adoption of project outputs	Incorporate local knowledge, conduct cultural sensitivity training
Environmental Uncertainty	Changes in climate patterns or natural disasters	May necessitate adjustments to project scope	Include flexible plans, develop contingency strategies for natural disasters

Such assessment of risks is found by this evaluation to have been adequate and constitutes a clear overview of the anticipated risks and assumptions, their potential impacts on the project, and the strategies proposed to mitigate these impacts or counter the risks. This risk identification framework has served as a quick reference guide for the project team and stakeholders to understand the project's risk management and contingency planning framework.

3.1.4. Lessons from other Relevant Projects Incorporated into the Project Design

The NAP project was designed to enhance the country's climate resilience by integrating adaptation into national and sectoral development processes. Drawing from lessons learned from previous environmental and sustainability projects, the project document emphasized the importance of comprehensive stakeholder engagement to ensure broad input and buy-in across various sectors, including government, local communities, the private sector, and international organizations. This extensive involvement was aimed at fostering comprehensive support and ensuring that the project addresses the real needs and conditions on the ground. Furthermore, the project document prioritized building local capacities, crucial for sustaining the adaptation measures long-term, and implements robust monitoring and evaluation systems to track progress and make necessary adjustments. The NAP project has also incorporated flexibility in its design to adapt to changing conditions and feedback, a strategy derived from adaptation projects globally that have highlighted the necessity of adaptable project frameworks. Financial sustainability is another critical aspect identified in the Project Document.

3.1.5. Planned Stakeholder Participation

The project document placed emphasis on stakeholder participation, recognizing that broad and inclusive engagement is essential for the success and sustainability of climate adaptation initiatives. The planned approach to stakeholder participation was comprehensive, targeting various groups to ensure a multi-faceted and inclusive process. As such, the project design included a wide array of stakeholders, such as government agencies at multiple levels, local communities, private sector entities, international organizations, and civil society groups. This was aimed at harnessing a range of perspectives and expertise, which is crucial for addressing

the complex nature of climate change adaptation. The project was designed to employ engagement strategies designed to facilitate meaningful involvement from multiple stakeholder groups. These strategies included workshops, training sessions, consultation processes, and regular communication channels. Such activities were intended to build capacity, foster dialogue, and facilitate the exchange of knowledge and best practices among stakeholders.

3.1.6. Linkages with Other Interventions in the Sector

The NAP project is related to other interventions in the climate change and environmental sectors. This interconnectivity with other initiatives helps for a more coordinated approach to climate change adaptation in Uzbekistan, leveraging synergies and avoiding duplication of efforts.

The NAP project was designed in alignment with other ongoing initiatives, including those by UN agencies, international development organizations, and governmental programmes. For example, the project complements existing efforts by the UNDP to integrate climate resilience into national development plans and strategies. The NAP project is also aligned with the green economy concept of Uzbekistan. UNDP jointly with the World Bank, French Development Agency and in partnership with the Ministry of Economic Development and Poverty Reduction provided substantial inputs on green development framework, which is underpinned by the President Resolution "*On measures to improve the effectiveness of reforms aimed at the transition of the Republic of Uzbekistan to a green economy until 2030*" issued on 2 December 2022. The NAP project is aligned and has contributed to Uzbekistan's Strategy on Climate Change up to 2030, whose drafting was led by Uzhydromet, with support of UNDP (NAP project team and consultants).[7]

The NAP project is also aligned with initiatives aimed at enhancing Uzbekistan's water management systems, agricultural sustainability, and disaster risk reduction, which are crucial sectors affected by climate change. The adaptation project has been coordinated with national policies, including Uzbekistan's National Development Strategy and sector-specific plans. This alignment ensures that the project supports and reinforces national priorities and legal frameworks, enhancing the sustainability and policy coherence of its outcomes. By embedding the project's objectives within the broader national agenda, it gains more robust governmental support and legitimacy, which are critical for long-term success. Furthermore, the NAP project has helped with the development of more adequate indicators to measure results of the implemented climate adaptation measures and actions. Such indicators are being developed by a group of Uzhydromet experts within the second phase of the UNDP Global Climate Promise initiative.

3.1.7. Gender Responsiveness of Project Design

The NAP project document incorporated some elements envisaged to address gender responsiveness in its activities and outcomes, recognizing the crucial role of gender in climate

[7] Currently, the draft Strategy is under consideration for adoption by the Government of Uzbekistan.

change adaptation.[8] The project document's strengths in gender responsiveness include gender-specific objectives and strategies, which aimed to integrate gender considerations into all stages of the project, from vulnerability assessments to capacity building and policy development. Additionally, the project document emphasized the inclusion of women in stakeholder engagement, ensuring that their voices and perspectives are considered in shaping adaptation strategies. The project document also included gender-specific indicators and monitoring to evaluate the impact of its interventions on different gender groups, promoting accountability and ensuring that outcomes effectively address gender disparities. Furthermore, special provisions were included for training and capacity-building initiatives to empower women at both community and institutional levels, enhancing their knowledge and skills in climate adaptation. Within the framework of the project, a gender analysis for each sector was carried out at the beginning of the project. Based on this analysis, recommendations have been prepared on the involvement of women in the planning of adaptation activities for each sector. However, specific details on the allocation of resources to support gender-specific initiatives would have been valuable. Furthermore, the project document could have further articulated long-term strategies for sustaining the benefits achieved through its gender-responsive actions. This includes integrating these strategies into broader national policies and ensuring that gender considerations remain a priority in future climate adaptation efforts.

3.1.8. Social and Environmental Safeguards

The NAP project document incorporated social and environmental safeguards designed to minimize negative impacts and enhance positive outcomes for local communities and ecosystems. In terms of social safeguards, the project document's strengths lie in its emphasis on inclusive stakeholder engagement, ensuring that the voices of vulnerable populations, indigenous peoples, women, and local communities are heard and their specific needs addressed. The project document also prioritized capacity building tailored to enhance local capabilities, empowering communities to actively participate in adaptation efforts and ensuring sustainability. Furthermore, special attention was given to equitable distribution of project benefits, particularly targeting those most vulnerable to climate change impacts. However, the project document lacked strong mechanisms for monitoring and enforcing these social safeguards, and would have benefitted from a more clearly defined and accessible grievance redress mechanism to address any concerns or adverse impacts.

Regarding environmental safeguards, the project document included incorporated ideas aimed at enhancing environmental sustainability, such as promoting renewable energy and sustainable water management practices, aligning with broader environmental conservation goals. Additionally, the document’s adaptive management approach allows for flexibility in strategies based on environmental monitoring and feedback, enabling prompt responses to unforeseen environmental impacts. However, the project document could have placed greater emphasis on protecting biodiversity, especially in ecologically sensitive areas affected by the planned adaptation measures.

[8] Women often face higher risks and greater burdens from the impacts of climate change due to social roles, discrimination, and poverty.

3.2. Project Implementation

The NAP project was endorsed by the GCF in November 2019. The Project Document was signed on 17 August 2020, which marked the effective start date of the project. An Inception Workshop was held online on 3 December 2020. The NAP Project Board, which convened on 9 August 2023, approved a six-month extension of the project, from November 16, 2023, to May 14, 2024.

3.2.1. Adaptive Management

The NAP project has demonstrated adaptive management by adjusting its approach and activities in response to challenges and changing circumstances. Several examples from the evaluation interviews and project documentation illustrate this flexible and responsive management style.

- ***Adjusting to COVID-19 restrictions***: The global pandemic posed significant challenges to project implementation, particularly in terms of conducting in-person meetings, workshops, and field visits. The project adapted by shifting to online platforms for coordination, capacity building, and stakeholder engagement. For example, most Project Board meetings were held in a combined physical and online format, allowing participants to join virtually. While this modality may have had some limitations, it allowed the project to continue making progress despite the public health restrictions.

- ***Extending the project timeline***: The project experienced several delays in its operational activities (highlighted in more detail in the Efficiency section of this report), which compressed the timeline for activities. In response, the project requested and received a no-cost six-month extension from the Green Climate Fund (GCF) –from November 16, 2023, to May 14, 2024. This was in addition to the blanket extension provided in the wake of the COVID-19 crisis. This extension allowed the project to adjust its workplan and deliverables to ensure that key outputs, such as the sectoral and regional adaptation plans, could be completed within the revised timeframe.

- ***Adjusting procurement and recruitment strategies***: The project faced challenges in procuring the services of an international company to support the development of sectoral and regional adaptation plans. The initial tender process was unsuccessful due to a lack of qualified applicants. In response, the project adjusted its approach by re-tendering the opportunity and exploring alternative options, such as recruiting individual international consultants or a consortium of international and national experts. This flexibility allowed the project to find a suitable solution and move forward with this critical component.

- ***Responding to institutional changes***: The project had to adapt to changes in the institutional landscape, such as the restructuring of the National Agency for Project Management (NAPM). NAPM's role in the project had to be reconsidered due to changes in its mandate and scope. In response, the project strengthened its collaboration with the Center of Hydrometeorological Services (Uzhydromet) and other key government partners to ensure continuity and alignment with national priorities.

- ***Tailoring capacity building approaches***: The project has provided training to over 550 individuals from sectoral ministries and pilot regions on adaptation planning concepts and approaches. However, the project encountered the challenge of ensuring the systematic participation and engagement of trainees and their institutions. In response, the project adapted its capacity building strategy to include more targeted and hands-on training, such as the development of e-learning modules and the integration of adaptation concepts into university curricula.

- ***Iterative development of adaptation plans***: The project has taken an iterative approach to developing the sectoral and regional adaptation plans, recognizing that these are living documents that will evolve. For example, the draft Sectoral Adaptation Plan for the emergency management sector was further refined based on stakeholder feedback and emerging priorities. This adaptive approach allows for flexibility and responsiveness in the planning process.

These examples demonstrate the NAP project's ability to adapt its management approach in response to challenges and opportunities. By being flexible, innovative, and responsive, the project has been able to continue making progress toward its objectives despite the complex and dynamic context in which it operates. This adaptive management style has been beneficial to the project's ability to deliver relevant and sustainable results in strengthening Uzbekistan's capacity for medium- and long-term adaptation planning.

3.2.2. Stakeholder Participation and Partnership Arrangements

The NAP project has placed adequate emphasis on stakeholder participation and partnership arrangements to ensure the relevance, effectiveness, and sustainability of its adaptation planning and implementation efforts.

- ***Government Stakeholders***: The NAP project has worked closely with key government agencies that are related to climate change adaptation. As noted already, the key government body for the project has been the Agency of Hydrometeorological Services (Uzhydromet), which at the time of the project's formulation reported directly to the Cabinet of Ministers and had a strategic focus on enhancing the country's climate resilience and adaptation capabilities. However, in the process of a major administrative reform Uzbekistan went through starting from December 2022, the Ministry of Natural Resources was transformed into the Ministry of Ecology, Environmental Protection and Climate Change, with an increased role and mandate.[9] In addition, Uzhydromet was subordinated to this ministry. Consequently, in the latter part of the NAP project's lifetime the Ministry of Ecology, Environmental Protection and Climate Change has played a greater role in the project and going forward will be the main partner for any climate change adaptation activities. Other government entities directly engaged with the NAP project by dint of their mandates in the respective areas covered by the adaptation activities include the Ministry of Investments and Foreign Trade (as the National Designated Authority to the GCF), the

[9] The Ministry of Natural Resources was renamed into the Ministry of Ecology, Environmental Protection and Climate Change in May 2023.

Ministry of Agriculture, the Ministry of Water Resources, the Ministry of Health, the Ministry of Construction, Housing and Communal Services, the Ministry of Emergency Situations, and the Ministry of Economy and Finance among others. These agencies are represented on the project's Inter-agency Working Group, which serves as a platform for coordination, information sharing, and decision-making. The NAP project has also engaged with regional and local government authorities in the pilot regions of the Republic of Karakalpakstan, Bukhara, and Khorezm to ensure that adaptation planning is informed by local needs and priorities.

- ***Technical Experts***: The NAP project has collaborated with a range of technical partners to access specialized expertise and build capacity for adaptation planning and implementation. For example, the project has engaged international consultants and firms to support the development of sectoral and regional adaptation plans. It has also worked with national research institutions, such as the Research Hydrometeorological Institute of Uzhydromet, to conduct climate vulnerability assessments and provide scientific input to the NAP process. These technical partnerships have helped the project to ensure that adaptation planning is based on adequate evidence and best practices.

- ***Civil Society and Academia***: The NAP project has recognized the important role of civil society organizations and academia in raising awareness about climate change, fostering public participation, and generating knowledge for adaptation. The project has engaged with universities, such as Bukhara State University and Tashkent Institute of Irrigation and Agricultural Mechanization Engineers, to integrate climate change adaptation into their curricula and research agendas. It has also collaborated with non-governmental organizations to support community-based adaptation initiatives and promote gender-responsive approaches.

- ***Private Sector***: Engaging the private sector is critical for mobilizing resources and expertise for adaptation implementation. The NAP project has conducted an analysis of private sector engagement opportunities and barriers. This analysis was envisaged to inform the development of a private sector engagement strategy that can help to unlock investments in climate-resilient technologies, infrastructure, and practices. The NAP project has also worked to raise awareness among businesses about the risks and opportunities associated with climate change adaptation.

- ***International Partners***: The NAP project has benefited from the support and expertise of international partners. UNDP has provided technical assistance, capacity building, and operational support to the project, drawing on its global network of adaptation experts and its experience supporting NAP processes in other countries. The GCF, as the project's funding partner, has provided financial resources and guidance to ensure that the project aligns with its investment criteria and contributes to the achievement of its adaptation priorities.

These examples demonstrate the project's commitment to stakeholder participation and partnership building. By engaging a diverse range of stakeholders, the project has been able to

access valuable knowledge, resources, and capacities to support adaptation planning and implementation. It has also helped to build ownership and accountability for the NAP process among key decision-makers and stakeholders.

However, the NAP project has also faced some challenges in ensuring consistent and meaningful stakeholder participation. For example, one key challenge has been the ability to ensure the uninterrupted participation and input of Inter-agency Working Group members, given the high turnover of government staff and competing priorities. The project has responded by providing targeted capacity building and engagement opportunities, such as training workshops and e-learning modules, to build a critical mass of adaptation champions and experts.

3.2.3. Project Finance

This section provides an overview of the project's financing and expenditures, based on information provided by the project team.

The project's financial information is summarized in the table below. The data presented in the table is provided by the project team based on project records, and has not been independently verified/validated by the evaluation team. As can be seen from the table, the project budget has undergone modifications, with significant changes from the initial Project Document budget. This is clearly in response to the delays experienced with the implementation of the project. However, the total budget has remained unchanged at $1,611,944, with variations in the allocation among components. It should also be noted that the estimation of the execution rate in the table below is based on the modified budget, and not the original budget (as per the Project Document).

Table 5: Project's Budgets and Expenditures by Year

No.	Component	Budgeted (as per ProDoc)	Last Approved (Modified) Budget	Spent	Execution Rate
Year 2020					
1	Outcome 1	$251,835	$833	$833	100%
2	Outcome 2	$234,835			
3	Outcome 3	$34,836			
4	PMC	$44,272			
5	**Total**	**$565,778**	**$833**	**$833**	100%
Year 2021					
1	Outcome 1	$264,212	$98,683	$98,683	100%
2	Outcome 2	$214,036	$47,937	$47,937	100%
3	Outcome 3	$166,836	$16,675	$16,675	100%
4	PMC	$44,272	$27,880	$27,880	100%
5	**Total**	**$689,356**	**$191,174**	**$191,174**	100%
Year 2022					
1	Outcome 1	$170,918	$151,855	$151,855	100%
2	Outcome 2	$74,418	$126,822	$126,822	100%

No.	Component	Budgeted (as per ProDoc)	Last Approved (Modified) Budget	Spent	Execution Rate
3	Outcome 3	$88,338	$12,470	$12,470	100%
4	PMC	$23,136	$40,227	$40,227	100%
5	**Total**	**$356,810**	**$331,375**	**$331,375**	100%
Year 2023					
1	Outcome 1	$0	$324,387	$323,033	100%
2	Outcome 2	$0	$120,570	$119,503	99%
3	Outcome 3	$0	$85,860	$85,342	99%
4	PMC	$0	$35,590	$35,590	100%
5	**Total**	**$0**	**$566,406**	**$563,468**	99%
Year 2024					
1	Outcome 1	$0	$111,207	$63,265	57%
2	Outcome 2	$0	$227,960	$143,669	63%
3	Outcome 3	$0	$175,005	$148,434	85%
4	PMC	$0	$7,983	$2,358	30%
5	**Total**	**$0**	**$522,155**	**$357,726**	69%
ALL YEARS					
1	Outcome 1	$686,965	$686,965	$637,669	93%
2	Outcome 2	$523,289	$523,289	$437,931	84%
3	Outcome 3	$290,010	$290,010	$262,921	91%
4	PMC	$111,680	$111,680	$106,055	95%
5	**Total**	**$1,611,944**	**$1,611,944**	**$1,444,577**	90%

The financial information in the table above offers insights into the financial performance and execution of the project over the years. The total budget for all years has been $1,611,944, and the project has managed to spend $1,444,577, resulting in an overall execution rate of 90%. This good execution rate indicates that, despite the challenges outlined in this report, the project eventually has been successful in utilizing the majority of allocated funds. In 2020, the project had a 100% execution rate, but only a small portion of the budget ($833 out of $565,778) was spent (this was the modified budget). In 2021, the execution rate remained at 100%, with $191,174 spent out of the approved budget of $689,356. The year 2022 also saw a 100% execution rate, with $331,375 spent out of the approved budget of $356,810. In 2023, the execution rate was 99%, with $563,468 spent out of the approved budget of $566,406. So far in 2024, the execution rate has been 69%, with $357,726 spent out of the approved budget of $522,155, with number of ongoing procurement cases and events in process, which if completed ensures nearly 100% delivery.

The budget execution rates for each year and the project's lifetime are summarized in the table below. The spending trends show that there was a significant increase in spending from 2020 to 2023, with the highest spending occurring in 2023 at $563,468. Comparing the component-wise spending, Outcome 1 has the highest budget and spending, followed by Outcome 2, Outcome 3, and PMC. The execution rates for all components are above 84%, indicating a good utilization of funds across the board.

Table 6: Budget Execution Rates by Fiscal Year

Component	2020	2021	2022	2023	2024	Total
Outcome 1	100%	100%	100%	100%	57%	93%
Outcome 2	100%	100%	100%	99%	63%	84%
Outcome 3	100%	100%	100%	99%	85%	91%
PMC	100%	100%	100%	100%	30%	95%
Total	**100%**	**100%**	**100%**	**99%**	**99%**	**90%**

No co-financing was available for the project. The only source of financing was the GCF grant discussed above. While this is the preparatory phase for an adaptation strategy and as such co-financing is not crucial, going forward it will be important for the NAP stakeholders to think about what kind of financing and co-financing will be available for the implementation of the adaptation plans that are being formulated.

3.2.4. Monitoring and Evaluation

The following is a summary of the assessment of the design and implementation of the project's monitoring and evaluation (M&E) system.

Design

The M&E plan presented in the Project Document was quite comprehensive in scope, covering the key requirements for both UNDP and GCF-financed projects. The proposed M&E system was based on the project's logical framework, which outlined the project's objectives, outcomes, outputs, and indicators. The logical framework was refined during the project's inception phase to ensure that the indicators were specific, measurable, achievable, relevant, and time-bound (SMART).

The design of the M&E system, as laid out in the Project Document, included several key components, which are summarized as follows.

- A project results framework, which defined the project's performance indicators, baselines, targets, and means of verification. The results framework is used to track progress and measure the achievement of project outcomes and outputs.

- The project document established for the most part specific, measurable, achievable, relevant, and time-bound (SMART) indicators that aligned with each of the project's objectives. These indicators cover various aspects of the project, from stakeholder engagement and capacity building to the implementation of adaptation measures and financial management.

- The project document envisaged a monitoring and evaluation plan, which outlined the specific M&E activities, tools, and timelines. The plan included provisions for periodic progress reports, field visits, mid-term and final evaluations, and learning and knowledge sharing activities.

- The M&E framework included provisions for regular monitoring reports, which are essential for keeping all stakeholders informed about the project's progress.
- A risk management framework, which identified potential risks to project implementation and defines mitigation strategies and responsibilities. The risk management framework is regularly updated to reflect changing circumstances and emerging challenges.
- A stakeholder engagement plan, which outlined the project's approach to engaging and communicating with key stakeholders, including government partners, technical experts, civil society organizations, and local communities.

For all the strengths outlined above, there are also areas that would have benefitted from improvements.

- While the project document outlined comprehensive indicators, the initial baseline was not fully established. Ensuring the availability of accurate baseline data is crucial for measuring true progress and impacts.
- While the M&E plan assigned clear responsibilities for M&E, additional details could have been provided on practical coordination mechanisms between stakeholders. For example, it would be beneficial to outline the working relationship between the Project Manager and UNDP CO on day-to-day M&E and results reporting.

The M&E framework focused primarily on immediate and medium-term outcomes. More attention could have been given to long-term impacts, which are crucial for understanding the sustainability of adaptation efforts and the effectiveness of the project over time.

Given all the above, the rating of "Monitoring and Evaluation" at project start-up/design is "Moderately Satisfactory".

Implementation

The project's M&E system has been implemented throughout the project cycle, with regular data collection, analysis, and reporting activities. The following are some key M&E activities undertaken by the NAP project.

- The functioning of the Project Management Board has been efficient in ensuring a good planning process. It has also acted efficiently in the monitoring of project activities and in ensuring that risks were identified and mitigated as effectively as possible. Also, the communications between the Project Team and the Project Board have been efficient.

- The project conducted a baseline assessment of adaptation planning capacity and vulnerabilities in the target sectors and regions, as mentioned in the first Project Board meeting minutes. This assessment provided a benchmark against which to measure progress and results.

- The project established a project management unit within Uzhydromet to oversee day-to-day implementation and monitoring of project activities, as noted in the second Project Board meeting minutes. The project management unit was responsible for collecting and analyzing data on project performance and reporting to the Project Board and other stakeholders.

- The project developed a set of gender-sensitive indicators and methodologies to track progress on adaptation planning and implementation. These indicators are aligned with national and international frameworks, such as SDGs and the Sendai Framework for Disaster Risk Reduction.

- The project conducted regular field visits and stakeholder consultations to assess project progress, identify challenges and opportunities, and gather feedback from beneficiaries. For example, the project conducted workshops with regional stakeholders in Karakalpakstan, Bukhara, and Khorezm to assess capacity building needs and priorities.

- Preparing periodic progress reports, including quarterly financial reports and annual performance reports, to track project delivery and expenditure against planned activities and budgets. These reports were reviewed by the Project Board and submitted to the GCF and UNDP for oversight and accountability purposes.

Despite the project's efforts to implement a comprehensive M&E system, there are areas where further improvements were possible. One area that could have received greater attention by the project is the involvement of stakeholders - particularly those at the regional and local levels - in the M&E process. Ensuring that stakeholders have opportunities to provide input and feedback on project progress and results could enhance the participatory nature and robustness of the M&E system.

Overall, the NAP project has put in place a reliable M&E system, with regular reporting and risk monitoring. Given all the above, the rating of "Monitoring and Evaluation" at implementation is "Satisfactory".

Monitoring & Evaluation (M&E)	**Rating**
M&E design at entry	**S**

M&E Plan Implementation	**S**
Overall Quality of M&E	**S**

3.2.5. Implementation and Execution

The NAP project was implemented by UNDP, in close partnership with Uzhydromet.

Performance of Implementing Agency (UNDP)

The NAP project was implemented under Direct Implementation Modality (DIM), with UNDP Uzbekistan taking on the role of Implementing Partner. The DIM modality of this project implied that UNDP had the technical and administrative capacity to assume the responsibility for mobilizing and applying effectively required inputs in order to reach the expected outputs. UNDP assumed overall management responsibility and accountability for project implementation. Some aspects of UNDP's role and performance include the following.

- UNDP has supported the project from inception to implementation, playing a flexible role that included identifying objectives, drafting the concept and detailed proposal, and approving the Project Document. UNDP worked closely with Uzhydromet and other national stakeholders to develop the project proposal and secure funding from the GCF. UNDP provided technical expertise and guidance to ensure that the project was aligned with national priorities and international best practices for adaptation planning.

- UNDP has been actively involved in initiating project activities, supervising progress through its participation in the Project Board, and overseeing the execution of planned actions. UNDP has been responsible for day-to-day project management, including procurement, financial management, and monitoring and reporting. UNDP has established a project management unit within Uzhydromet to oversee project activities and has provided ongoing technical and operational support to ensure smooth implementation. On the financial front, UNDP's responsibilities have encompassed approving expenditures and conducting independent audits. UNDP has also played a crucial in facilitating and coordinating activities with higher levels of government. Further, UNDP has been critical in offering operational support, particularly in procurement activities, which were vital given the project's infrastructure focus.

- UNDP has provided extensive capacity building and technical assistance to Uzhydromet and other project partners on various aspects of adaptation planning, such as vulnerability assessment, prioritization of adaptation options, and monitoring and evaluation. UNDP has drawn on its global network of adaptation experts and its experience supporting NAP processes in other countries to provide cutting-edge knowledge and tools.

- UNDP has played a key role in facilitating stakeholder engagement and coordination for the NAP process, including through the establishment of the Inter-agency Working Group and the organization of regular stakeholder consultations and workshops. UNDP has also helped to build partnerships and synergies with other relevant initiatives and actors, such as the GCF Readiness Programme and the Adaptation Fund.

- UNDP has been responsible for ensuring that the project meets the highest standards of quality, transparency, and accountability. UNDP has conducted regular monitoring and reporting on project progress and has worked closely with the Project Board and the GCF to address any issues or challenges that have arisen.

- UNDP has also been instrumental in devising solutions to the challenges presented to the project by the COVID-19 crisis. UNDP and the project team have continuously assessed risks and devised responses to them. This indicates proactive risk management. The project's documents note regular meetings between the project team and the UNDP team to discuss risks and define responses, suggesting a collaborative approach to risk management.

Overall, UNDP's performance has been critical to the performance of the NAP project. UNDP Uzbekistan has provided the project with timely, continued and adequate support. UNDP has brought significant technical expertise, operational capacity, and financial resources to support the project's design, implementation, and monitoring.

Given the above, the rating of Implementing Agency's performance in the project is "Satisfactory".

Performance of the Executing Agency

As noted in the project description section of this report, Uzhydromet has served as the National Implementing Partner of the NAP project. As such, Uzhydromet has played a central role in providing the project with technical expertise, institutional support, and coordination for adaptation planning. However, it is also important to note here that Uzhydromet role and mandate changed significantly during the implementation of the NAP project. As has been noted previously. In December 2022, Uzbekistan underwent administrative reforms that resulted in the transformation of Uzhydromet, which was initially under the Cabinet of Ministers of the Republic of Uzbekistan. As part of these reforms, Uzhydromet was re-established as an agency under the Ministry of Natural Resources. Subsequently, in May 2023, the Ministry of Natural Resources was renamed the Ministry of Ecology, Environmental Protection and Climate Change.

Nevertheless, Uzhydromet has remained the project's Executing Agency and for that reason its role is assessed under this section. Some key aspects of Uzhydromet's role in the NAP project include the following.

- Uzhydromet has served as the lead government agency for the NAP process, responsible for coordinating adaptation planning efforts across key sectors and stakeholders. Uzhydromet has chaired the Inter-agency Working Group and has worked closely with other government agencies to ensure that adaptation is mainstreamed into national development planning and budgeting processes.

- Uzhydromet has provided critical technical expertise and data on climate change impacts, vulnerabilities, and adaptation options in Uzbekistan. Uzhydromet's staff have been

actively involved in conducting vulnerability assessments, developing adaptation plans, and providing training and capacity building to other stakeholders.

- Uzhydromet has hosted the project management unit and has been responsible for overseeing day-to-day project implementation, including procurement, financial management, and monitoring and reporting. Uzhydromet has worked closely with UNDP to ensure that project activities are delivered on time, within budget, and to a high standard of quality.

- Uzhydromet has benefited from significant capacity building and technical assistance provided through the NAP project, including training on climate modelling, vulnerability assessment, and adaptation planning. Uzhydromet has also worked to strengthen its institutional arrangements and coordination mechanisms for adaptation planning, such as through the establishment of a dedicated Climate Change Department.

- Uzhydromet has demonstrated a strong commitment to the sustainability and ownership of the NAP process, recognizing the critical importance of adaptation for Uzbekistan's long-term development and resilience. Uzhydromet has worked to integrate adaptation planning into its core mandates and functions and has advocated for increased national budget allocations and investments in adaptation.

Overall, Uzhydromet has operated in a difficult environment, especially in light of the significant reform process that has directly affected the institution. Its performance has been essential for the progress and achievements of the NAP project. Uzhydromet has provided the necessary institutional leadership, technical expertise, and coordination to support the development of a comprehensive and evidence-based NAP process.

Given the key role of Uzhydromet, but also some of the challenges identified in this report, the rating of Executing Agency's performance in the project is "Satisfactory".

UNDP Implementation/Oversight & Implementing Partner Execution	Rating
Quality of UNDP Implementation/Oversight	**S**
Quality of Implementing Partner Execution	**S**
Overall quality of Implementation/Oversight and Execution	**S**

3.2.6. Risk Management

The NAP project has faced various risks throughout its implementation, ranging from operational and institutional to contextual challenges. The following are some specific examples of the project's risk management approach.

- ***COVID-19 pandemic***: The global health crisis posed significant risks to project implementation, including potential delays, reduced stakeholder engagement, and limitations on field activities. The NAP project team and partners recognized these risks

and developed a contingency plan to mitigate their impact. As mentioned in the analysis of adaptive management, the project shifted to online platforms for coordination, capacity building, and stakeholder engagement. This shift allowed the project to continue making progress while prioritizing the health and safety of its staff and partners. The project also closely monitored the evolving situation and adjusted its workplan and timelines as needed, such as by requesting a 6-month no-cost extension from the GCF.

- ***Institutional coordination***: Effective coordination among the various government agencies and stakeholders involved in the NAP process is critical to the project's success. However, the NAP project recognized the risk of limited engagement and ownership from some partners, particularly given competing priorities and institutional changes. To mitigate this risk, the project invested in building and maintaining strong relationships with key government partners, such as Uzhydromet and the Ministry of Investments and Foreign Trade. The NAP project also established coordination mechanisms, such as the Inter-agency Working Group, to facilitate regular communication and collaboration. The project also sought to ensure systematic participation and input from Working Group members, indicating an ongoing focus on managing this risk.

- ***Capacity and ownership***: While the NAP project has provided training and capacity building to government staff and other stakeholders, there is a risk that this enhanced capacity may not translate into sustained action and ownership of the NAP process. Staff turnover, competing demands, and insufficient resources could all contribute to this risk. To manage this risk, the NAP project adopted a multi-pronged approach. First, it targeted capacity building efforts at both the individual and institutional levels, aiming to build a critical mass of expertise and commitment. Second, it focused on mainstreaming adaptation considerations into existing policies, plans, and budgets, rather than creating parallel processes. Third, it emphasized the development of practical tools and guidelines, such as the monitoring and evaluation framework, to support ongoing implementation. Finally, it engaged high-level decision-makers and champions to build political will and sustainability.

- ***Data and information***: Effective adaptation planning and implementation rely on robust data and information about climate risks, vulnerabilities, and impacts. However, data gaps, inconsistencies, and accessibility challenges have traditionally hindered evidence-based decision-making in the adaptation area in Uzbekistan. The NAP project recognized this risk and took steps to address it. For example, it conducted vulnerability assessments for key sectors such as water resources and agriculture, using available data and methods. It also supported the digitization and harmonization of climate-related data, as mentioned in the fourth Project Board meeting minutes. Furthermore, it has emphasized the importance of data sharing and collaboration among government agencies and research institutions to improve the overall information base for adaptation.

- ***Financing risks***: Securing adequate and sustainable financing for adaptation measures is a critical challenge facing the NAP process in Uzbekistan and globally. The NAP project has recognized the risk that insufficient financing could undermine the implementation of adaptation priorities identified through the NAP process. To manage this risk, the project conducted an analysis of adaptation financing options and opportunities, as highlighted in the fifth Project Board meeting minutes. This analysis was envisaged to inform the development of a financing and investment strategy that can help mobilize resources from public, private, and international sources. The project has also worked to build the capacity of government agencies to access and manage adaptation finance effectively.

These examples demonstrate the project's proactive and systematic approach to risk management. By identifying potential risks early on, developing targeted mitigation strategies, and continuously monitoring and adjusting its approach, the project has been able to navigate complex challenges and deliver results. However, it is important to recognize that risk management is an ongoing process, and the project will need to remain vigilant and adaptable as it enters its final stages of implementation. Documenting and sharing lessons learned from its risk management experience can also contribute to the broader knowledge base on effective adaptation planning and implementation.

Strengths of the risk management approach:

1. *Monitoring of risks*: Given the adaptive management capabilities of the project described in the previous section, the NAP project team has adopted an adequate a system for identifying, assessing, and tracking risks that could affect its implementation and results.
2. *Regular review of risks*: The fact that risk management has been discussed at the Project Board meetings indicates that risks have been regularly reviewed and reported on at a high level. This has helped ensure that risk management remained a priority and that key stakeholders are aware of any significant risks facing the project.
3. *Monitoring of socio-environmental risks*: The Project Quality Assessment noted that the monitoring of socio-environmental impacts and risks was rated as "Satisfactory". This suggests that the project is paying attention to potential unintended consequences or negative impacts that could arise from its activities, which is an important aspect of comprehensive risk management.

Areas for further improvement:

1. *Underestimation of project complexity*: At the stage of project formulation, project partners have underestimated the time and resources required to facilitate a comprehensive and participatory adaptation planning process. Developing sectoral and regional adaptation plans involves extensive stakeholder consultations, data analysis, prioritization of adaptation options, and validation processes. These processes are iterative and time-consuming, particularly given the limited prior experience with adaptation planning in Uzbekistan and the need to build capacity and awareness among stakeholders.

2. *Institutional and policy reforms*: One unexpected risk has been the pace of institutional reform in Uzbekistan, which have affected the project's operating environment. Changes in government structures, mandates, and personnel have required the project to adapt its approach and re-engage with new counterparts. Moreover, the evolving policy landscape, such as the development of the national Climate Change Strategy, has required the project to align its activities and outputs with emerging priorities and processes.

Overall, the NAP project has put a risk management system in place, with regular monitoring and reporting of risks, including socio-environmental risks.

3.2.7. Social and Environmental Standards

The NAP project has addressed several major concerns related to the social and environmental impacts of inadequate and deficient selection of future adaptation interventions.

- First of all, given that the NAP project was focused on soft interventions, and did not include the construction of any infrastructure, there have been no immediate risks in this regard.

- The risk assessments undertaken by the project have addressed for the first time the vulnerabilities of sectors and regions in a more comprehensive manner towards climate change, indicating gaps in the available statistical and other climate related data, current legislation and awareness levels among the main stakeholders and developing methodologies for conducting such studies for the future update or development of sectoral and regional adaptation plans, as well as providing grounds for identification and prioritization of necessary adaptation measures.

- As described in Section 3.3.2. of this report, the NAP project supported the development of a set of guidelines targeted at different audiences which are intended to reduce the social and environmental risks of climate change adaptation strategies and measures. These guidelines prescribe approaches that safeguard the environment and communities where adaptation actions are taking place.

- Furthermore, the project has pledged to exploit all learning experiences that will come from the implementation of concrete adaptation actions, use them to build knowledge, awareness and training materials – which will be disseminated through all available networks and forums and reach the community as widely and deeply as possible. In fact, according to the Project Document *"The project will identify and participate, as relevant and appropriate, in scientific, policy-based and any other networks, which may be of benefit to project implementation through lessons learned."* UNDP representatives have also had the chance to communicate results in their opening remarks as part of trainings or public events.

3.3. Project Results

This section provides an assessment of the project's progress in the accomplishment of project goals, as well as an examination of achievements along the standard dimensions of UNDP evaluations: i) relevance - the extent to which the project was relevant to the country's priorities and needs; ii) effectiveness - whether the project was effective in achieving the planned results; iii) efficiency - whether the process of achieving results was efficient; and, iv) sustainability - the extent to which project benefits are likely to be sustained. It also includes the assessment of other considerations and cross-cutting issues.

3.3.1. Relevance

This section provides an assessment of the project's relevance. While there may be many criteria for assessing relevance, here it will be assessed along the following dimensions: i) alignment with national priorities; ii) alignment with UNDP, UN and GCF Strategic Priorities; and iii) contribution to SDGs.

Alignment with National Priorities and Needs

The project is overall highly relevant to both the environmental and developmental priorities and needs of Uzbekistan. It was designed in a manner that is well-aligned with commitments that the Government of Uzbekistan has undertaken at both domestic and international levels.

- *Alignment with Country Needs*: First of all, climate change adaptation is essential for Uzbekistan due to its significant vulnerability to climate impacts, which threaten water resources, agricultural productivity, and overall regional stability. The country's economy is heavily reliant on agriculture, which is dependent on consistent water supply primarily sourced from the rapidly shrinking Aral Sea and diminishing water reserves in the region. The effects of climate change, including increased temperatures, altered precipitation patterns, and more frequent extreme weather events, exacerbate these water scarcity issues, directly affecting food security and the livelihoods of millions. Moreover, the drying up of the Aral Sea has already led to severe environmental and health issues, underscoring the urgency of implementing robust adaptation strategies. These strategies are critical not only for safeguarding the environment and public health but also for maintaining economic stability and securing the long-term development prospects of Uzbekistan.

- *Response to Government Priorities*: Climate change adaptation has escalated as a priority for the Uzbek government in the last couple of years due to increasing recognition of its immediate and long-term impacts on national security, economic stability, and public health. The government's increasing interest in climate change is evidenced by the place adaptation was in the recent government reform that started in December 2022. As part of these reforms, Uzhydromet was re-established as an agency under the Ministry of Natural Resources. Subsequently, in May 2023, the Ministry of Natural Resources was renamed the Ministry of Ecology, Environmental Protection and Climate Change. Other government reforms include the proposed establishment of the Climate Council under the President, the creation of the National Center for Green Transformation and Adaptation to Climate

Change, and the founding of the Central Asian University of Environmental and Climate Change Studies, also known as the "Green University." These institutional reforms reflect the increasing prominence of climate change as a government priority.

- *Alignment with National Policy Framework*: The NAP project has supported the implementation of Uzbekistan's National Strategy for Sustainable Development (NSSD). It has also directly contributed to the Strategy of the Republic of Uzbekistan on Climate Change until 2030. The project has also been well-aligned with several other national strategic documents, such as the "*Strategy for the transition of the Republic of Uzbekistan to a green economy for the period 2019-2030*", "*Concept of environmental protection until 2030*", and "*Concept of hydrometeorological service development of the Republic of Uzbekistan in 2020-2025*", "*Strategy of water resources management and irrigation sector development in the Republic of Uzbekistan for 2021-2023"*, and others. The NAP project has also contributed to the government's initiative to establish state development programmes by integrating climate change adaptation considerations.

- *Alignment with Uzbekistan's International Commitments*: The development of National Adaptation Plans aligns with Uzbekistan's adaptation commitments under the Paris Agreement and UNFCCC. The project's focus on developing a National Adaptation Plan (NAP) and integrating adaptation considerations into sectoral planning and budgeting processes has been highly relevant to Uzbekistan's NDC under the Paris Agreement. Uzbekistan's NDC identified adaptation as a key priority and outlines several sectoral adaptation measures in areas such as agriculture, water resources, health, and disaster risk reduction. By strengthening institutional capacities and coordination mechanisms for adaptation planning and implementation, the NAP project has directly contributed to achieving the adaptation goals and targets set out in Uzbekistan's NDC. Also, gender-sensitive adaptation planning and M&E indicators contribute to meeting Uzbekistan's commitments on gender-responsive climate action.

Overall, the NAP project is well-aligned with Uzbekistan's national and international priorities in the area of climate change adaptation. It has complemented existing legislative frameworks and policy objectives, and has the potential to contribute to ongoing and planned governmental activities.

Alignment with UNDP, UN and GCF Strategic Priorities

The NAP project has aligned well with UNDP's Strategic Plan 2022-2025, particularly Outcome 2 on strengthening resilience to shocks and crises, and Outcome 3 on advancing environmental sustainability. It has contributed to UNDP's Signature Solution 3 on enhancing national prevention and recovery capacities for resilient societies, by strengthening Uzbekistan's capacities for climate change adaptation planning and implementation. The focus on gender-responsive adaptation has aligned with UNDP's priority on gender equality and women's empowerment.

The focus on capacity building and institutional strengthening has aligned with the UN's emphasis on supporting member states to achieve their sustainable development priorities.

The project has also aligned well with the GCF's strategic priority of supporting developing countries to adapt to the impacts of climate change, by enhancing Uzbekistan's adaptive capacities and resilience. The project's focus on private sector engagement and developing a financing and investment strategy for adaptation has been in line with the GCF's emphasis on catalyzing climate finance and engaging the private sector. Moreover, the mainstreaming of gender considerations and engagement of vulnerable communities in adaptation planning has contributed to the GCF's cross-cutting priority of promoting gender equality and social inclusion.

Contribution to Sustainable Development Goals (SDGs)

The NAP project has contributed to the achievement of several SDGs in the in direct and indirect ways:

- *Direct Contribution: SDG 13 (Climate Action)* - The project has directly contributed to SDG 13 by strengthening Uzbekistan's resilience and adaptive capacity to climate-related hazards and natural disasters. The development of National Adaptation Plans and mainstreaming adaptation into development planning and budgeting aligns with target 13.2 on integrating climate change measures into national policies, strategies and planning. Capacity building and awareness-raising activities contribute to target 13.3 on improving education, awareness-raising and human and institutional capacity on climate change adaptation and impact reduction.

- *Indirect Contributions* – The project has indirectly contributed to several SDGs through its focus on enhancing Uzbekistan's climate resilience. It supports reducing the exposure of vulnerable populations to climate-related shocks (SDG 1), promoting sustainable food production systems and resilient agricultural practices (SDG 2), strengthening capacities for managing climate-related health risks (SDG 3), achieving sustainable water management (SDG 6), making human settlements more resilient (SDG 11), combating desertification and land degradation (SDG 15), and leveraging partnerships for climate action (SDG 17). By mainstreaming adaptation considerations into sectoral planning and budgeting, the project enables cross-cutting impacts across multiple SDGs.

Box 5: Project's Indirect Contributions to SDGs

Project's Indirect Contributions to SDGs

SDG 1 (No Poverty): By supporting Uzbekistan's resilience to climate change impacts, the NAP project has indirectly contributed to reducing the exposure of poor and vulnerable populations to climate-related events (target 1.5).

SDG 2 (Zero Hunger): Integrating adaptation considerations into agriculture sector planning and budgeting has helped with sustainable food production systems and implement resilient agricultural practices that increase productivity and production (target 2.4).

SDG 3 (Good Health and Well-being): The vulnerability assessment and adaptation planning for the health sector contributed to strengthening the capacity for early warning, risk reduction and management of national and global health risks posed by climate change (target 3.d).

SDG 5 (Gender Equality): The project has helped mainstream gender considerations into adaptation planning and budgeting.

SDG 6 (Clean Water and Sanitation): Mainstreaming adaptation into water sector planning and budgeting has helped with water management polices (targets 6.4 and 6.5).

SDG 11 (Sustainable Cities and Communities): Integrating climate change adaptation into housing sector development has helped make cities and human settlements more resilient (target 11.b).

SDG 15 (Life on Land): Ecosystem-based adaptation approaches help address the challenge of desertification, restore degraded land and soil, and halt biodiversity loss (target 15.3).

SDG 17 (Partnerships for the Goals): The NAP project has leveraged international cooperation and multi-stakeholder partnerships (target 17.16).

Based on the examination of project activities and the opinions of stakeholders interviewed in the course of the evaluation, the project is rated as "Relevant".

3.3.2. National Ownership[10]

In general, the NAP project has demonstrated an inclusive approach to stakeholder engagement, involving a wide range of actors from the government, civil society, academia, private sector, and vulnerable (targeted) communities. Then following is a summary of the extent to which key stakeholder categories were engaged by the NAP project.

- ***Government Bodies***: National ownership and leadership of the NAP project has varied, with various degrees of overall engagement by the respective governmental institutions. This engagement has depended on the type of institution and how close that institution is to the climate change agenda, as well as the personalities occupying leadership positions in each of these institutions. Uzhydromet has played a key role and has demonstrated a high level of engagement and ownership. The Project Board, which included representatives from several key ministries and agencies, such as the Ministry of Investments and Foreign Trade (which is also the National Designated Authority to the Green Climate Fund), Ministry of Economic Development and Poverty Reduction, Ministry of Agriculture, Ministry of Water Resources, Ministry of Health, has played a key convening role. The project has also engaged with provincial and local governments to ensure adaptation planning and implementation at the sub-national level. The establishment of the Inter-Agency Working Group has helped the project achieve continuous engagement with key stakeholders. This engagement has been further aided by regular stakeholder consultations and validation workshops. Another key aspect of national ownership has been the fact that the project included activities to build the capacity of government partners in assessing and prioritizing climate adaptation options. This focus on strengthening national capacities is a

[10] National ownership is a critical factor for the success and sustainability of the project. In this report it is assessed based on the engagement of various national stakeholders with the project and the roles they have played in its activities.

key aspect of fostering long-term ownership and sustainability. Also, the project's focus on awareness-raising has further improved the government ownership.

- ***Civil Society and Academia***: The NAP project aimed to enhance the understanding of climate change adaptation and build the capacities of civil society organizations, research institutes, and universities through outreach and awareness-raising activities. Given the fact that there are a few NGOs in Uzbekistan in the field of climate change, and considering that representatives of academic organizations are members of various specialized Councils (for example NGO Ecomovement), academia has been actively involved and participated in consultation meetings and board meetings. Since 2022, the following academic organizations have been involved in the project activities, including the pilot regions: Hydrometeorological Research Institute, National University of Uzbekistan, Tashkent Institute of Irrigation and Agricultural Mechanization Engineers and its branch in Bukhara, Tashkent agrarian institute, Karakalpakstan State University after Berdaq, Khorezm Mamun Academy, Urgench State University, Bukhara State University, the Aral Region Innovation Center and other. Despite these efforts, the engagement of these stakeholders with the project could have been more intensive, especially at the sub-national level where non-governmental organizations (NGOs) could play a crucial role in mobilizing communities, providing local expertise, and advocating for the needs and priorities of vulnerable communities affected by climate change. The development of sectoral and regional adaptation plans presented a unique opportunity to directly involve NGOs and local communities in the planning process, as they possess valuable insights and perspectives on local adaptation needs and priorities. Similarly, academic institutions, particularly universities, could have played a more significant role in the project's activities. Although the project conducted a review of research programs and curricula on climatology and adaptation to identify gaps and opportunities for strengthening academic engagement, the actual engagement remained limited. Moreover, the NAP project could have made greater efforts in developing a climate change adaptation curriculum in the Uzbek language, which could have increased access to knowledge and skills for adaptation.

- ***Engagement of Local Communities***: The NAP project acknowledged the significance of engaging local communities, especially vulnerable groups such as women and marginalized populations, in adaptation planning and decision-making processes. However, the mechanisms and activities through which local communities have been engaged thus far have been limited, apart from plans for future consultations and assessments. Meaningful and sustained engagement of local communities is a challenging task, particularly in the context of a national-level project. It necessitates dedicated efforts to establish participatory processes and ensure that community voices and knowledge are genuinely incorporated into adaptation planning and implementation. The NAP project's regional stakeholder consultations have been primarily confined to vulnerability assessments, which is insufficient. To adequately address the needs and priorities of vulnerable communities in adaptation interventions, more extensive efforts would have been required. The NAP project could have taken additional steps to actively involve local communities in the adaptation planning process, ensuring that their insights, experiences,

and concerns are effectively captured and integrated into the project's activities and outcomes. By strengthening community engagement, the project could have better aligned its interventions with the realities on the ground and enhanced the overall effectiveness and sustainability of its adaptation efforts.

- ***Engagement of the Private Sector***: The NAP project recognized the crucial role that the private sector can play in advancing adaptation efforts in Uzbekistan, considering its resources, expertise, and stake in climate resilience. However, the private sector's involvement in the project activities has been limited, primarily confined to contracting companies for research and surveying activities. One key opportunity to meaningfully engage the private sector and align its interests with adaptation goals lies in the project's focus on developing a financing and investment strategy for adaptation. By actively involving the private sector in this process, the project can leverage the sector's financial resources, technical know-how, and innovative solutions to support the implementation of adaptation measures. Engaging the private sector in adaptation efforts can lead to multiple benefits, such as fostering public-private partnerships, promoting sustainable business practices, and creating market incentives for climate-resilient products and services. The project could have seized this opportunity to establish a framework that encourages private sector participation, identifies potential areas of collaboration, and develops mechanisms to channel private investments into adaptation initiatives.

Overall, the NAP project has demonstrated good national ownership, with good partnerships with government bodies at the national and local level and alignment with national priorities, including efforts to build their capacities. However, while the project made efforts to engage civil society organizations, the private sector and local communities, more could have been done to fully capitalize on the potential contributions and opportunities presented by these stakeholders in advancing climate change adaptation efforts.

3.3.3. Effectiveness

The project’s primary goal was to develop National Adaptation Plans for the five sectors most vulnerable to climate change impacts in Uzbekistan (agriculture, water resources, health, housing/buildings, and emergency management) and for three target regions (Republic of Karakalpakstan, Bukhara and Khorezm provinces). The project also aimed to strengthen the national coordination mechanism and build capacity for multi-sectoral adaptation planning and implementation at different levels.

Outcome 1: Strengthened coordination mechanism for multi-sectoral adaptation planning and implementation at different levels

The NAP project has made good progress in strengthening the coordination mechanism for multi-sectoral adaptation planning and implementation at different levels in Uzbekistan. The establishment of the Inter-Agency Working Group (IAWG), consisting of representatives from 16 agencies and 12 representatives from three pilot regions, has laid the foundation for effective coordination and collaboration among key stakeholders. This inclusive and participatory

approach ensures that diverse perspectives and interests are considered in the adaptation planning process, promoting a whole-of-government and whole-of-society response to climate change.

The project has also taken important steps to enhance Uzhydromet's coordination role related to climate finance. The development of recommendations and the provision of training on climate finance coordination for 37 national stakeholders (77% male, 23% female) have strengthened institutional capacities and understanding of the financial aspects of adaptation planning. This is crucial for mobilizing and managing the necessary resources for the implementation of adaptation actions.

Moreover, the project has supported the drafting of a Strategy on climate change until 2030 for the Republic of Uzbekistan, which includes COP26 outcomes relevant to the country. This strategic document, currently under consideration for adoption by the Government, provides a long-term vision and framework for guiding adaptation efforts at the national level. Its development through an inclusive process, involving key stakeholders, ensures that it reflects the country's priorities and needs.

Capacity building has been a key focus of the project, with 443 representatives (27% female) from 10 institutions in the target 5 key sectors and 3 pilot regions trained on adapting to climate change impacts through adaptation planning. This has significantly enhanced the knowledge and skills of stakeholders across different sectors and levels, enabling them to effectively contribute to the adaptation planning process.

The project has also conducted a comprehensive assessment of institutional barriers to the integration of climate change into development planning and policies. This includes an analysis of barriers in the five key sectors and an institutional barrier and capacity needs assessment for climate change in each of the three provinces. The identification of these barriers and the formulation of recommendations to overcome them provide a roadmap for strengthening the enabling environment for adaptation planning and implementation.

Stakeholder engagement and awareness-raising have been prioritized, with 109 representatives (22% female) of regional administrations in the Republic of Karakalpakstan, Khorezm, and Bukhara regions introduced to the NAP project's goals, objectives, and results through workshops. Trainings on methods and approaches for economic assessment and prioritization of adaptation measures were also conducted in three regions, building the capacity of stakeholders to make informed decisions on adaptation investments.

The establishment of a sub-set of the IAWG to appraise climate change adaptation investments is another notable achievement. This mechanism will facilitate the systematic assessment and prioritization of adaptation options, ensuring that limited resources are allocated to the most effective and feasible interventions.

To support evidence-based decision-making and monitoring of adaptation progress, the NAP project has developed climate and gender-sensitive indicators and submitted them to the State

Statistics Committee for inclusion in the statistics database. The training of 40 persons to report and update the database ensures that the system is operational and sustainable.

Also, the NAP project has reviewed effective adaptation practices from 40 countries and formulated recommendations considering Uzbekistan's economic and climate environment. This global knowledge exchange and learning from best practices will inform the design and implementation of adaptation actions in the country.

Outcome 2: Strengthened evidence base for adaptation planning and prioritization into national and sectoral planning and budgeting

The NAP project has also made progress in strengthening the evidence base for adaptation planning and prioritization in Uzbekistan. This has been achieved through a series of assessments, capacity building activities, and the development of sectoral and regional adaptation plans.

One of the key outputs under this outcome is the "*Consolidated Report on Capacity Gaps*" assessment. This report focuses on identifying and addressing the gaps in technical capacities of national stakeholders in the Inter-Agency Working Group (IAWG). By pinpointing these capacity gaps, the project has provided a roadmap for targeted capacity building efforts to enhance the ability of key stakeholders to effectively contribute to adaptation planning and implementation.

The NAP project has also conducted vulnerability assessments for key sectors, including water resources, agriculture, and health. These assessments have yielded valuable insights into the specific risks and impacts of climate change on these sectors. The results of the vulnerability assessment of water resources and agriculture have been summarized and published, providing a comprehensive overview of the challenges faced by these critical sectors. Similarly, the vulnerability assessment of the health sector has focused on the impacts of climate change on various age and gender groups at both national and regional levels. This gender- and age-disaggregated analysis is crucial for designing adaptation interventions that address the differential vulnerabilities and needs of different population groups.

Capacity building has been a central component of the project's efforts to strengthen the evidence base for adaptation planning. 30 national specialists (37% female) from 8 departments have been trained in methods and approaches for economic assessment and prioritization of adaptation measures. These trainings have equipped stakeholders with the necessary tools and knowledge to conduct economic analyses of adaptation options and prioritize interventions based on their feasibility, effectiveness, and cost-efficiency. Similar trainings have also been conducted in three regions, ensuring that capacity building efforts reach stakeholders at the sub-national level.

The establishment of a sub-set of the IAWG to appraise climate change adaptation investments is another notable achievement under this outcome. This mechanism will facilitate the systematic assessment and prioritization of adaptation options, ensuring that limited resources are allocated to the most effective and feasible interventions. By institutionalizing the appraisal

process within the IAWG, the project has laid the foundation for sustainable and evidence-based decision-making on adaptation investments.

The most significant output under this outcome is the development of draft sectoral adaptation plans for agriculture, water resources, healthcare, construction, and emergency management. These plans have been finalized by an international company and validated by national partners, ensuring that they are technically sound and aligned with national priorities. The sectoral adaptation plans provide a comprehensive framework for integrating adaptation considerations into the planning and budgeting processes of these key sectors. They identify specific adaptation measures, estimate the costs and benefits of these measures, and propose financing strategies for their implementation. The development of these plans through a participatory process, involving relevant stakeholders, ensures that they are owned and endorsed by the sectors themselves.

In addition to the sectoral adaptation plans, the project is also supporting the development of regional adaptation plans. These plans are currently under validation by national partners and will provide a sub-national perspective on adaptation needs and priorities. The regional adaptation plans will facilitate the integration of adaptation considerations into local development planning and budgeting processes, ensuring that adaptation efforts are tailored to the specific needs and contexts of different regions.

Outcome 3: Adaptation financing and investment strategy developed for Uzbekistan

The development of an adaptation financing and investment strategy is crucial for ensuring the long-term sustainability and implementation of adaptation measures in Uzbekistan. Under this outcome, the NAP project has laid the groundwork for such a strategy by conducting analyses, identifying financing options, and engaging the private sector.

One of the key outputs under this outcome is the analysis of sustainable financing options for adaptation. This analysis has identified potential sources and mechanisms for mobilizing resources to support the implementation of adaptation measures. These sources may include national budgets, international climate finance, multilateral development banks, and private sector investments. The analysis has also explored innovative financing mechanisms, such as green bonds, climate insurance, and adaptation funds, which can help to diversify the funding portfolio for adaptation.

In addition to the analysis of financing options, the project has also reviewed existing legislation to identify opportunities for financing adaptation. This review has provided insights into the legal and regulatory frameworks that govern climate finance in Uzbekistan, as well as potential entry points for mainstreaming adaptation considerations into these frameworks. By aligning the adaptation financing and investment strategy with existing legislation, the project can ensure that it is consistent with national priorities and has the necessary legal and institutional backing.

The findings of these analyses and reviews will inform the development of a comprehensive financing and investment strategy for adaptation in Uzbekistan. This strategy will outline the

key sources and mechanisms for mobilizing resources, as well as the institutional arrangements and partnerships needed to facilitate the flow of finance to adaptation actions. It will also identify priority areas for investment, based on the vulnerability assessments and adaptation plans developed under Outcome 2.

While the financing and investment strategy is still at the stage of finalization, the project has made progress in engaging the private sector in adaptation financing. A final report on public-private partnership (PPP) options to finance sectoral adaptation actions has been prepared. This report explores the potential for leveraging private sector resources and expertise to support the implementation of adaptation measures in key sectors such as agriculture, water resources, and infrastructure. PPPs can help to mobilize additional resources, transfer risks, and promote innovation in adaptation financing.

The NAP project has also developed a report on inputs provided for formulating recommendations on gender-focused options for private sector engagement in climate change adaptation. This report recognizes the important role that women play in adaptation and the need to ensure that adaptation financing and investments are gender-responsive. By engaging the private sector in gender-focused adaptation initiatives, the project can help to promote women's economic empowerment and build their resilience to climate change impacts.

Achievement of Project Targets

The status of project indicators at the point of this evaluation is shown in Table 7 below and in a more extended format in the results framework table in Annex VI of this report. All this information is based on data provided by the project team based on their data collection system and not validated by the evaluation team or any third party.[11]

The overall picture that emerges from the results data is that the NAP project has made significant progress in achieving its targets across the three outcome areas. The following is a brief analysis of the achievement of project targets.

Outcome 1: The coordination mechanism for multi-sectoral adaptation planning and implementation at different levels is strengthened

- The project has successfully established a participatory inter-agency working group on adaptation, meeting the target.
- Recommendations to enhance the coordination role of Uzhydromet related to climate finance have been developed.
- A draft Strategy on climate change until 2030 for the Republic of Uzbekistan has been prepared, initiating the framework on adaptation to climate change.

[11] Most of the qualitative information presented here has been confirmed by project stakeholders in the course of evaluation interviews. But some of the project statistics were derived from project data records and it was impossible to verify them independently.

- 443 staff members (27% female) from 10 institutions have been trained on adaptation planning, exceeding the target.
- Institutional barriers in 5 key sectors have been identified, analyzed, and recommendations formulated.
- Outreach and advocacy activities have been conducted, including workshops and trainings in target regions.
- Climate and gender-sensitive indicators have been developed and submitted for inclusion in the national statistics database.
- 40 persons have been trained to report and update the database, meeting the target.
- Effective adaptation practices from 40 countries have been reviewed, and recommendations formulated for Uzbekistan's context.

Outcome 2: The evidence base for adaptation planning is strengthened and adaptation prioritized into national and sectoral planning and budgeting

- A consolidated report on capacity gaps assessment has been developed, focusing on technical capacities of national stakeholders.
- Vulnerability assessments of the health, water, and agriculture sectors to climate change have been conducted.
- 30 national specialists (37% female) have been trained in methods and approaches for economic assessment and prioritization of adaptation measures.
- Draft sectoral adaptation plans for agriculture, water resources, healthcare, construction, and emergency management have been finalized and are under validation.

Outcome 3: Adaptation financing and investment strategy for Uzbekistan is developed

- The NAP financing and investment strategy is at the stage of finalization.
- A final report on PPP options to finance sectoral adaptation actions has been prepared.
- Recommendations on gender-focused options for private sector engagement in climate change adaptation have been formulated.

Table 7: Achievement of Project Results

Indicator Number	Indicator Formulation	Achievement Status
1.1.1	A participatory Inter-Agency Working Group established and is operational	Achieved: The structure of the group is agreed, and it consists of representatives from 16 agencies and 12 representatives from three pilot regions.
1.1.2	Framework for adaptation drafted and validated	In Progress: Strategy on climate change until 2030 has been drafted and is under consideration for adoption by the Government of Uzbekistan.
1.1.3	Number of staff (% female) trained for CCA integration	Achieved: 443 staff members (27% female) from 10 institutions have been trained on adaptation planning through 20 capacity building trainings.
1.2.1	Number of analysis of barriers conducted and number of recommendations validated at workshop	Achieved: Institutional barriers in 5 key sectors identified, analyzed, and recommendations formulated.
1.2.2	Number of outreach and advocacy activities	Achieved: Workshops and trainings conducted in target regions, introducing the project's goals, objectives, and results.
1.3.1	Number of CCA indicators developed and integrated into national database	Achieved: Climate and gender-sensitive indicators developed and submitted for inclusion in the national statistics database.
1.3.2	Number of persons (% female) trained to report and update the database	Achieved: 40 persons trained to report and update the database.
1.3.3	Best adaptation practices and lessons learned compiled and publicly accessible	Achieved: Effective adaptation practices from 40 countries reviewed, and recommendations formulated for Uzbekistan's context.
2.1.1	Gaps assessment report and Action Plan, including the one focused on health sector, are in place	Achieved: Consolidated report on capacity gaps assessment developed, focusing on technical capacities of national stakeholders.
2.1.2	Climate Vulnerability Assessment (gender sensitive) report on health sector is available	Achieved: Vulnerability assessments of the health, water, and agriculture sectors to climate change conducted.
2.2.1	Number of stakeholders (% female) trained on appraisal of adaptation option using economic analysis of their unintended impacts	Achieved: 30 national specialists (37% female) trained in methods and approaches for economic assessment and prioritization of adaptation measures.
2.3.1	CCA indicators aligned with national development priorities, NDC and SDGs	Achieved: Draft sectoral adaptation plans for agriculture, water resources, healthcare, construction, and emergency management finalized and under validation.

3.1.1	NAP financing and investment strategy developed and validated	In Progress: The NAP financing and investment strategy is at the stage of finalization.
3.2.1	Strategy for private sector engagement in adaptation is in place	Achieved: Final report on PPP options to finance sectoral adaptation actions prepared, and recommendations on gender-focused options for private sector engagement formulated.

As can be seen from the table above, the project has achieved or is on track to achieve most of its indicators. The above analysis indicates that the project has made significant advancements.

Outstanding Tasks and Challenges

For all the achievements under this project enumerated in this section of the report, there were still key outstanding activities at the time of this evaluation.

- ***Finalization and adoption of key documents***: The draft sectoral adaptation plans for agriculture, water resources, healthcare, construction, and emergency management need to be formally approved and integrated into the respective sectoral planning and budgeting processes. Also, the regional adaptation plans currently under validation need to be finalized and endorsed by national partners to ensure their integration into sub-national development planning and budgeting processes.

- ***Completion of the adaptation financing and investment strategy***: The financing and investment strategy for adaptation needs to be finalized, outlining the key sources and mechanisms for mobilizing resources, as well as the institutional arrangements and partnerships needed to facilitate the flow of finance to adaptation actions. The recommendations on gender-focused options for private sector engagement in climate change adaptation need to be fully developed and integrated into the financing and investment strategy to ensure that adaptation financing and investments are gender-responsive.

- ***Strengthening of institutional capacities and coordination mechanisms***: The Inter-Agency Working Group (IAWG) and its sub-set for appraising climate change adaptation investments need to be fully operationalized and strengthened to ensure sustained coordination and prioritization of adaptation actions across sectors and levels of government.

Overall, the NAP project has made progress in strengthening Uzbekistan's capacity, coordination and evidence base for adaptation planning and aims to deliver a set of sectoral and regional adaptation plans to guide climate-resilient development. However, it is important to note that some targets, such as finalization of adaptation plans and financing and investment strategy are still in progress and require further attention to ensure their successful completion.

Given the challenges, but also considering the contributions that have been provided by the project, the rating of the project's effectiveness is "Moderately Satisfactory".

3.3.4. Efficiency

To assess efficiency, the report focuses on two aspects that are closely associated with efficient project management. These parameters are categorized into the following categories: i) Project Management and Timeliness; ii) Project Implementation; iii) Budget Execution; iv) Synergies with Other Existing Initiatives.

Project Management

The NAP project can be clearly divided into two distinct periods: before and after the hiring of the new Project Manager and project team in the second half of 2022. The project faced significant organizational problems and delays in its implementation during the period from 2020 to 2022, but real progress became visible in 2023 and 2024 under the new management. This is also evident in the fact that the actual formulation of the sectoral and regional plans started only in 2023 – a key milestone for this process was the recruitment in December 2022 of the international company that led the technical work for the formulation process.

Despite the challenging circumstances and tight project timelines, the management of the project has been largely efficient in the second part of the project's lifetime. The small project team has managed several complex contracts and carried out a large number of monitoring tasks. They have effectively handled significant contracts with external contractors, particularly in the delivery of training content and the analysis underpinning the vulnerability and risk assessments and adaptation plans.

The Project Management Board has played a crucial role in ensuring efficient project planning and monitoring. It has been instrumental in identifying and mitigating risks as effectively as possible. The communication between the Project Team and the Project Board has also been efficient, facilitating smooth project implementation.

However, one common perception among the project team and implementing partners is the tight timeframe for the completion of activities. In these circumstances, the project team could have improved its planning of activities, taking into account the pressing timelines and the enormity of the tasks identified in the results framework. To support the development of comprehensive sectoral and regional adaptation plans, the project recruited an international company. While this effort brought international expertise to the process in Uzbekistan, it also introduced some complexities as the foreign company as not very well-versed in the particular specificities of the Uzbek context. In addition, the project had to deal with the translation of a large amount of information to make available to the foreign consulting company. Furthermore, some national partners interviewed for this evaluation raised the need for greater involvement of national experts, not only to bring local knowledge and understanding of the local context to the process, but also to further build national expertise in the area of climate change adaptation.

Overall, the project management has demonstrated resilience and adaptability in navigating the complex project environment. However, there are several areas where the project management could have been strengthened further:

- Given the tight timelines and the potential for external challenges, the project management could have developed more robust contingency plans to mitigate risks and ensure timely completion of activities.

- While the project has involved various stakeholders, there is scope for enhancing stakeholder engagement, particularly in terms of involving key institutions like the Ministry

of Finance and ensuring the active participation of local communities and civil society organizations.

- The project could have placed greater emphasis on building the capacity of local institutions and experts to ensure the long-term sustainability of adaptation planning efforts in Uzbekistan.

- The project management could have focused more on capturing and disseminating lessons learned and best practices from the project, creating a knowledge repository that could inform future adaptation planning efforts in the country and beyond.

In conclusion, while the project management has been largely effective in the second part of the project, there are areas where it could have been strengthened further to enhance the project's impact and sustainability. By addressing these areas and building on the project's successes, Uzbekistan can continue to advance its adaptation planning efforts and build resilience to the impacts of climate change.

Project Implementation

The NAP project has encountered several significant operational challenges that have led to considerable delays in its implementation. These challenges have tested the project's resilience and adaptability, requiring the management team to find innovative solutions to keep the project on track.

- The COVID-19 pandemic has been another major obstacle to project implementation. Despite being endorsed in November 2019, the project's official start date was pushed back to 17 August 2020, effectively compressing the timeline for project activities. Moreover, the recruitment of project staff and the establishment of project management structures took longer than anticipated, further delaying the implementation of substantive project activities. The global health crisis imposed travel restrictions and safety measures that limited the ability to conduct in-person meetings, workshops, and field visits. These activities are crucial for effective capacity building and stakeholder engagement, and their curtailment may have reduced the overall effectiveness of the project's interventions. While the project adapted by using online platforms, virtual interactions may not have been as impactful as face-to-face engagements in fostering meaningful participation and knowledge exchange. These delays put significant pressure on the project to complete the planned activities within a shorter timeframe, potentially affecting the quality and depth of the project's outputs.

- Procurement and recruitment challenges have also hindered the project's progress. The project experienced difficulties in procuring the services of an international company to support the development of sectoral and regional adaptation plans. The initial tender process was unsuccessful due to a lack of qualified applicants, necessitating a re-tendering process that further delayed the completion of this key deliverable. This setback highlights the importance of having a robust procurement strategy and contingency plans in place to mitigate the risk of delays. The necessity to hire an international consulting firm involved

complexities related to international procurement, a process which has been further complicated by recent changes in UNDP's corporate procurement processes and the new financial management system that has been implemented.

- As noted previously, real progress with project implementation occurred only in 2023 and 2024, which corresponded with the advent of the new management in mid-2022. The actual formulation of the sectoral and regional plans started only in 2023, following the engagement of the international firm in December 2022.

As a result of these challenges, the project required an extension beyond the blanket extension provided due to the COVID-19 crisis. This extension was crucial in allowing the project to complete most of its planned activities, particularly the formulation of the draft adaptation plans. Overall, project partners seem to have underestimated the time and resources required to facilitate a comprehensive and participatory adaptation planning process. Developing sectoral and regional adaptation plans involves extensive stakeholder consultations, data analysis, prioritization of adaptation options, and validation processes. These processes are iterative and time-consuming, particularly given the limited prior experience with adaptation planning in Uzbekistan and the need to build capacity and awareness among stakeholders.

Despite these challenges, the renewed project team has demonstrated resilience and adaptability under the new management and team. The change in leadership has brought fresh perspectives and renewed energy to the project, enabling it to overcome the implementation hurdles and make significant progress towards its objectives.

Budget Execution

Budget execution rates is a suitable indicator of a project's efficiency because inefficient projects usually have delays in expenditure which results in higher amounts of spending occurring at accelerated rates closer to project end dates. This typically leads to hurried decisions and hastened implementation which is rarely efficient.

The initial challenges the NAP project faced with the operational delays are visible in the project's budget execution rates which are shown in Table 5 in the section "Project Finance" of this report. As can be seen from that table, the project budget has undergone deep modifications, with significant changes from the initial Project Document budget. This was in response to the delays experienced with the implementation of the project.

Nevertheless, the project's total budget has remained unchanged at $1,611,944, with adjustments in the allocation among project components. At the point of the evaluation, the project had spent or committed 90% of the total budget.

Synergies with Other Existing Initiatives

The NAP project in Uzbekistan has sought to create synergies with existing initiatives to maximize its impact and ensure the efficient use of resources. One notable example of such synergy is the project's collaboration with the ongoing "Uzbekistan Climate Data Restoration" project, implemented by Uzhydromet, the national hydrometeorological service.

Recognizing the importance of a robust climate information base for effective adaptation planning, the NAP project identified an opportunity to complement the Climate Data Restoration initiative. By re-allocating funds to procure equipment and software for digitizing historical climate data, the NAP project has contributed to enhancing Uzbekistan's climate information base. This collaboration highlights the project's strategic approach to aligning with and building upon existing national initiatives, thereby avoiding duplication of efforts and maximizing the impact of limited resources.

The digitization of historical climate data is a crucial step in improving the accuracy and reliability of climate projections and risk assessments. By supporting this process, the NAP project has not only strengthened the foundation for its own adaptation planning activities, but also contributed to the broader national effort to build resilience to climate change. This synergy demonstrates the project's commitment to working within the existing institutional framework and leveraging ongoing initiatives to achieve its objectives.

However, while the NAP project has successfully collaborated with the Climate Data Restoration initiative, there is scope for further improvement in its coordination with other development partners in Uzbekistan. The project could have forged more strategic partnerships with key international development organizations to maximize synergies and avoid duplication of efforts.

These delay dynamics experienced by the NAP project highlight the complexities and challenges of implementing a multi-sectoral and multi-level adaptation planning project in a context of limited prior experience, capacity, and resources. While some delays were beyond the project's control, such as the COVID-19 pandemic, others could have been mitigated through more realistic project design, adaptive management, and proactive risk mitigation measures.

Given this, but also considering the contributions that have been provided by the project, the rating of the project's efficiency is "Moderately Satisfactory".

3.3.5. Sustainability

In this section, the assessment of the project's sustainability is done on the basis of the standard dimensions of Social Sustainability, Financial Sustainability, Institutional Sustainability, and Environmental Sustainability.

Social Sustainability

There are always socio-economic risks to the sustainability of project outcomes emanating from the country's political stability. For example, frequent changes in key institutions resulting from political rotation have been another source of instability with an impact on the sustainability of outcomes in the area of climate change adaptation. These risks will continue to persist and they are totally outside the control of projects like NAP or UNDP.

However, there are aspects of the NAP project that facilitate the sustainability of results from a political point of view. Firstly, the NAP project has demonstrated interest by national institutions and local governments, which lowers socio-economic risks. The project is well-aligned with Uzbekistan's national strategies and plans related to climate change adaptation, green economy, and sustainable development. This alignment increases the likelihood of continued government support and integration of project outcomes into ongoing efforts. Secondly, the consultations facilitated by the NAP project have improved the understanding of climate change adaptation in the country. Further, the project has contributed to making the policy process in the adaptation sector more open to and inclusive. This is important for the future sustainability of this effort as the process will be more constructive and stable with the environmental movement engaged and informed of the main activities undertaken in this area. Also, the body of knowledge produced by the project has contributed to the improvement of awareness and understanding of the importance of adaptation.

For all the reasons listed above, social impact risks associated with this type of project are considered low. Therefore, this dimension of sustainability is rated as “Likely”.

Financial Sustainability

Financial sustainability is a critical factor in ensuring the long-term viability and effectiveness of the adaptation plans developed with the support of the NAP project in Uzbekistan. To successfully implement these plans at both the sectoral and regional levels, it is essential to secure sufficient, stable, and predictable financial allocations over an extended period. Many adaptation measures require infrastructure investments that span several years, necessitating long-term financing commitments. Moreover, sustained financing demonstrates the commitment and ownership of national partners, which is a crucial aspect of sustainability.

However, mobilizing adequate and sustainable financing for adaptation measures remains a significant challenge. While the NAP project has analyzed financing options and opportunities, translating these into concrete financial resources will require concerted effort and strong political will. As financial and budgetary issues fall under the purview of the Ministry of Finance, the project's sustainability could have been enhanced by involving this ministry in its awareness-raising and capacity-building activities. This involvement would have helped to better align the project's objectives with national financial priorities and secure the necessary budgetary allocations for the implementation of the adaptation plans.

The NAP project could have placed greater emphasis on market-based climate finance mechanisms. Engaging the private sector in financing adaptation activities is crucial for the success and sustainability of adaptation plans. By exploring and promoting market-based approaches, the project could have mobilized additional financial resources and fostered greater private sector participation in climate change adaptation efforts.

Given the above-mentioned, the likelihood of sustainability of the project’s outcomes from a financial perspective is rated as “Moderately Likely”.

Institutional Sustainability

The project has contributed to a number of institutional improvements related to climate change adaptation in Uzbekistan. The following is a summary of the main contributions.

- One of the key contributions of the project is the development of adaptation plans for specific sectors. These plans not only create obligations for action towards adaptation objectives within the respective sectors but also set a precedent for replication in other sectors. The expected approval of these adaptation plans by the Government further reinforces their importance and ensures that all government institutions will be required to consider adaptation when delivering their responsibilities in their respective areas. This framework promotes sustainable engagement of government institutions with climate change adaptation, ensuring that it remains a priority in the long term.

- Moreover, the project has established a coordination mechanism for climate change adaptation, which will play a crucial role in maintaining the momentum generated by the NAP project. This mechanism will facilitate ongoing collaboration, knowledge sharing, and resource mobilization among relevant stakeholders, ensuring that adaptation efforts continue beyond the project's lifecycle.

- In addition to these institutional arrangements, the NAP project has enhanced the country's institutional capacities in the area of climate change adaptation. This includes improvements in analytical capabilities and the overall process of planning adaptation measures. The project has supported the development of methodologies for conducting vulnerability and risk assessments, as well as for updating sectoral and regional adaptation plans in the future. These methodologies provide a standardized approach to adaptation planning, enabling institutions to assess risks, prioritize actions, and monitor progress effectively.

For all these contributions, to ensure the sustainability of the climate change adaptation process in Uzbekistan, several key issues need to be addressed.

- First and foremost, there is a lack of clarity regarding the timeline for the approval of the sectoral and regional adaptation plans developed by the project. The most pressing challenge for NAP stakeholders is to secure the approval of these plans and initiate preparations for their implementation. To strengthen the project's sustainability, UNDP and the project team should focus on obtaining formal adoption of the key instruments developed by the project from the relevant government entities. This can be achieved through a well-articulated exit strategy that clearly outlines the procedures for transferring project assets and deliverables to the appropriate governmental bodies, thereby ensuring that the project's contributions have a lasting impact.

- Another crucial aspect for the successful continuation of the adaptation process is the monitoring of the implementation of the adaptation plans. Currently, there is a lack of clarity about the monitoring process and the specific responsibilities of the various counterparts involved. Moreover, there is no agreed-upon list of indicators to be used for

tracking implementation progress. To address this issue, it is essential to establish a centralized platform for coordinating all NAP-related activities, particularly the monitoring of the country's progress with NAP policies and implementation. This platform should serve as an inventory of adaptation projects, studies, and actions, allowing for the systematic tracking of NAP indicators, efficient reporting, and better alignment of actions implemented by different stakeholders. Additionally, it should function as a source of information for the implementation of the NAP communication strategy.

- Moving forward, it is also crucial to establish coordination mechanisms at the sub-national level, where a range of stakeholders with diverse responsibilities need to be coordinated more effectively. This will ensure that adaptation efforts are well-aligned and efficiently implemented across different regions and sectors.

- Lastly, it is essential for NAP stakeholders, especially key decision-makers, to perceive adaptation planning as an iterative process. They need to establish a system that keeps the adaptation documents alive, allowing for continuous improvement and updating based on lessons learned. The next cycle of the NAP process should enable the Government to continue integrating climate change-related risks, adaptation coping strategies, and opportunities into ongoing development planning and budgeting processes. Furthermore, it should put in place appropriate mechanisms for monitoring adaptation actions and fine-tuning adaptation plans based on the lessons learned from implementation.

Given the outstanding risks mentioned above, this dimension of sustainability is rated as "Moderately Likely".

Environmental Sustainability

The NAP project has contributed to the country's environmental sustainability objectives, particularly in terms of strengthening resilience to climate change effects. The project's actions do not pose any direct environmental risks; instead, they directly address key environmental risks related to climate change at the highest level.

One of the project's strengths is its alignment with national policies on climate change mitigation and adaptation, as well as Uzbekistan's international commitments, such as the Paris Agreement. This alignment enhances the likelihood of long-lasting environmental benefits, as the project's objectives are supported by policy continuity. Moreover, the project has taken a multi-sectoral approach to environmental sustainability by targeting multiple sectors, ensuring that interventions were broad-based and integrated.

The NAP project has conducted a series of crucial risk assessments, which have taken place for the first time in the country. These assessments have comprehensively identified the main vulnerabilities of sectors and regions, highlighting gaps in available statistical and other climate-related data, current legislation, and awareness levels among key stakeholders. By providing a detailed understanding of the country's climate change risks and vulnerabilities, these assessments lay the foundation for targeted and effective adaptation measures.

Overall, the NAP project exhibits a well-structured and comprehensive approach to environmental sustainability. However, the main risks to sustainability from an environmental perspective are related to the translation of project activities and outputs into concrete results by the relevant state institutions. The extent to which these entities formally adopt the project's results will largely determine the long-term sustainability of the project's environmental benefits.

Given the outstanding risks mentioned above, this dimension of sustainability is rated as "Likely".

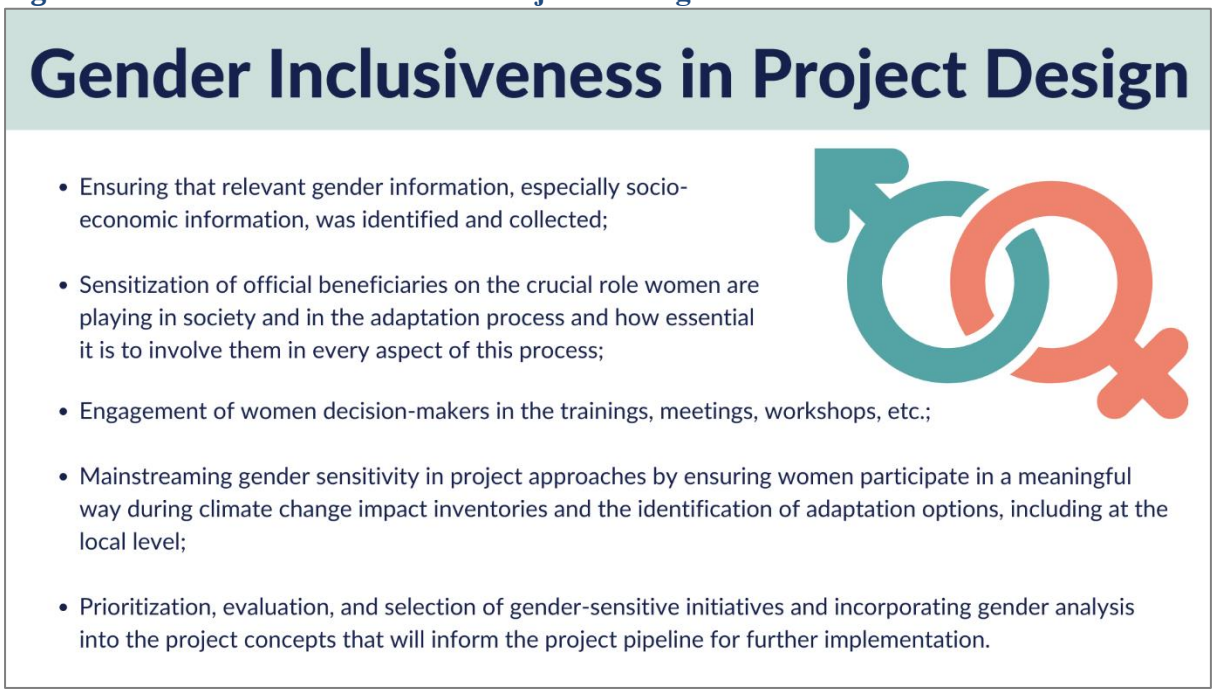
Table 8: Sustainability Rating

Sustainability Dimension	Risk Assessment
Financial risk	ML
Social risk	L
Institutional risks	ML
Environmental risks	L

3.3.6. Gender Mainstreaming

The project design integrated the gender perspective in the project's approach, objectives and activities by recognizing how women experience climate-related challenges in their daily lives. This design approach is summarized in the figure below.

Figure 4: Gender Dimension in the Project's Design



Furthermore, during the implementation stage, the project team has undertaken several activities to promote gender mainstreaming in climate change adaptation in Uzbekistan. These activities include:

- Conducting an analytical review of gender equality dimensions in government regulations related to the five key sectoral NAPs and corresponding best international practices.
- Developing publications on implementing and mainstreaming gender policy in the five key sectoral and regional NAPs.
- Formulating recommendations for gender mainstreaming in sectoral adaptation plans.
- Analyzing and studying the existing reporting systems for monitoring and evaluation of progress in climate adaptation and relevant best international practices.
- Strengthening the capacity of 49 students (55% women) from three universities (Bukhara State University, Bukhara Institute of Natural Resource Management at the National Research University Tashkent Institute of Irrigation and Agricultural Mechanization Engineers, and Bukhara State Pedagogical Institute) on gender equality promotion focused on climate adaptation through a training seminar titled "*The link between gender and climate change*" organized on December 5, 2022, in Bukhara.
- Developing an M&E methodology named "Guidelines for Monitoring and Evaluation of Adaptation Actions" for the development and implementation of the five sectoral NAPs.
- Conducting two consultation meetings for the Inter-Agency Working Group to discuss trainings and documentation on M&E of adaptation activities and the M&E logical structure for the implementation of the NAP.

Despite these efforts, the project's contribution to gender mainstreaming and the empowerment of women has been limited. While the NAP project recognizes the importance of gender considerations in adaptation planning and implementation, acknowledging that women are often disproportionately affected by climate change impacts due to gender inequalities and their roles in natural resource-dependent livelihoods, there are areas where the project could have done more.

- The NAP project aimed to conduct gender-responsive stakeholder consultations and vulnerability assessments, but there has been limited depth in how the gender dimension was included in the way these consultations were designed or implemented to ensure meaningful participation of women, particularly those from marginalized groups.
- Additionally, while the project included training and capacity-building activities on various aspects of climate change adaptation, there has been limited focus on gender and climate change in the training content or approaches. The project could have done more to build the capacity of stakeholders, especially women, to understand and address the gender dimensions of climate change.
- Also, the NAP project sought to mainstream gender, but it did not conduct a comprehensive gender analysis to guide this process. A gender analysis would have helped identify the

differential impacts of climate change on men and women and the specific barriers and opportunities for women's participation and benefit in adaptation efforts.

- The NAP project lacked a dedicated gender expert on the team. To prioritize gender mainstreaming, the project would have benefitted from a dedicated gender specialist. The involvement of a gender specialist in the project would have contributed to a more effective mainstreaming of gender in the project and a more even distribution of responsibilities within the team, allowing other specialists to focus on other priority areas.

In general, while the NAP project has taken steps to address gender considerations in climate change adaptation, there was room for greater focus on the gender dimension in terms of ensuring meaningful participation of women, building capacity on gender and climate change, and conducting a comprehensive gender analysis to inform the project's gender mainstreaming efforts.

3.3.7. Cross-cutting Issues

- ***Contribution to a Human Rights-Based Approach*:** Due to the nature of the project, the extent to which the NAP project has taken a Human Rights-Based Approach (HRBA) has been limited: While the project documents do not explicitly mention human rights, they do acknowledge the importance of engaging vulnerable communities and marginalized groups in adaptation planning and decision-making processes. Further, the project's stakeholder engagement plan emphasized the importance of inclusive and participatory processes, which is a key principle of the HRBA. The project conducted gender-responsive stakeholder consultations and vulnerability assessments to ensure that the needs and priorities of vulnerable communities, including women and marginalized groups. However, as noted previously, the overall engagement with local communities and civil society organizations has been limited. There is room for strengthening the project's HRBA by more explicitly integrating human rights principles and standards into project design and implementation, establishing clear accountability and redress mechanisms, and empowering vulnerable communities to actively participate in and benefit from adaptation efforts.

- ***Poverty-Environment Nexus*:** While the project documents do not explicitly mention the term "Poverty-Environment Nexus," they do acknowledge the close interconnections between climate change vulnerability, environmental degradation, and poverty. The project recognizes that climate change impacts can exacerbate poverty and inequality, particularly for vulnerable communities and marginalized groups who are often more dependent on natural resources for their livelihoods and well-being. The project's focus on enhancing climate resilience and reducing vulnerability to climate change impacts has implicitly addressed the poverty-environment nexus by seeking to protect and sustain the environmental resources and services that are critical for poverty reduction and sustainable development. Also, the project engagement with the regions where climate change has the largest impact in Uzbekistan – and in particular vulnerable communities, including women and marginalized groups – has significant implications for poverty reduction.

- ***Benefits to Disadvantaged and Marginalized Groups, including Persons with Disabilities*:** Overall, while the project has recognized the importance of engaging vulnerable and marginalized groups in adaptation efforts the actual inclusion and consideration of these groups has been limited. The focus on gender mainstreaming is a positive step, but more attention is needed for other forms of marginalization, as well as to the specific needs and inclusion of persons with disabilities.

3.3.8. GCF Additionality[12]

The following is a summary of the main additional benefits directly attributable to the Global Climate Fund (GCF) as the funder of this project:

- ***Catalyzing adaptation planning in Uzbekistan***: GCF's support has been instrumental in enabling Uzbekistan to undertake the process of developing sectoral and regional adaptation plans in Uzbekistan. Without the GCF's funding and technical support, it is unlikely that Uzbekistan would have been able to initiate and advance this critical process of long-term adaptation planning and mainstreaming. The NAP process is expected to catalyze a more systematic and coordinated approach to adaptation in the country, which may not have occurred in the absence of the GCF's support.

- ***Strengthening institutional capacities and coordination for adaptation***: GCF's funding has enabled the establishment and operationalization of key institutional mechanisms for adaptation coordination and implementation in Uzbekistan. This includes the Inter-Agency Working Group on adaptation, which is bringing together key government agencies and stakeholders to guide and oversee the NAP process and adaptation mainstreaming efforts. GCF's support has also enabled the strengthening of Uzhydromet, as the national designated authority for climate change adaptation. Without the GCF's support, these institutional capacities and coordination mechanisms may not have been developed or strengthened to the same extent.

- ***Leveraging additional resources and partnerships for adaptation***: GCF's funding is helping to leverage additional resources and partnerships for adaptation in Uzbekistan. The project's work on developing a NAP financing and investment strategy and engaging the private sector is creating new opportunities for mobilizing adaptation finance that may not have been explored without the GCF's support. GCF's funding is also enabling the project to engage a wider range of stakeholders, including civil society organizations, academic institutions, and vulnerable communities, in adaptation planning and implementation. These partnerships and stakeholder engagement processes may not have been as extensive or inclusive without the resources and legitimacy provided by the GCF.

[12] Additionality in this evaluation is defined as “the extent to which innovation, enabling conditions (especially legal, institutional, and financial), and environmental and social impacts may not have occurred without the support of the GCF.”

- ***Promoting innovation in adaptation planning***: GCF's support is enabling the project to pilot and demonstrate innovative approaches to adaptation planning and implementation in Uzbekistan. This includes the use of participatory and gender-responsive vulnerability assessments, the integration of climate risk considerations into sectoral planning and budgeting, and the development of adaptation information systems and portals. Without the GCF's funding and technical support, these innovative approaches may not have been tested or demonstrated in the country, limiting opportunities for learning and replication.

- ***Advancing gender equality and social inclusion in adaptation***: GCF's funding has helped to promote gender equality and social inclusion in adaptation planning and implementation in Uzbekistan. The project's focus on gender mainstreaming, the use of gender-sensitive indicators and M&E frameworks, and the engagement of vulnerable and marginalized groups in adaptation decision-making are all being enabled by the GCF's support. Without this explicit focus and resourcing from the GCF, these gender equality and social inclusion dimensions may not have been prioritized or addressed to the same extent in the country's adaptation efforts.

Overall, GCF's support through the NAP project has generated additional benefits for climate change adaptation in Uzbekistan that may not have occurred in the absence of this funding. By catalyzing the NAP process, strengthening institutional capacities and coordination, leveraging additional resources and partnerships, promoting innovation, and advancing gender equality and social inclusion, GCF has enabled a more systematic, coordinated, and transformative approach to adaptation in the country.

3.3.9. Catalytic/Replication Effect

Overall, the NAP project has notable potential for catalytic and replication effects in advancing climate change adaptation in Uzbekistan. The following are some dimensions of this potential.

- ***Strengthening the Enabling Environment for Adaptation***: One of the key catalytic effects of the project is its contribution to strengthening the enabling environment for climate change adaptation in Uzbekistan. This institutional and policy strengthening work can catalyze more systematic and coordinated adaptation action across different levels of government and sectors. The project's capacity building and awareness-raising activities are also helping to build a stronger knowledge base and human resource pool for adaptation in the country.

- ***Demonstrating Approaches for Adaptation Planning and Implementation***: The project has piloted approaches for multi-stakeholder engagement, vulnerability assessment, adaptation prioritization, and mainstreaming that can be replicated and scaled up in other contexts. The project's work on integrating climate change into sectoral planning and budgeting in key sectors like agriculture, water, health, and housing can provide valuable lessons and best practices for other sectors and countries.

- ***Leveraging Resources and Partnerships for Adaptation***: The project has the potential to help catalyze the mobilization of additional resources and partnerships for adaptation in Uzbekistan. By developing a NAP financing strategy, the project is helping to identify new sources of funding for adaptation action.

- ***Knowledge Generation and Dissemination***: The project has generated valuable knowledge products and lessons learned on adaptation planning and implementation that can be shared and replicated within Uzbekistan and in other countries.

- ***Influencing Policy and Practice***: The project has the potential to catalyze broader changes in adaptation policy and practice in Uzbekistan. By demonstrating the feasibility and benefits of mainstreaming adaptation into development planning, the project can influence the way that other sectors and localities approach adaptation.

For all these advantages, a key challenge related to the sustainability of the project is the uncertainty around the scalability of this piloting work (in the targeted sectors and regions). The project needs a coherent vision or strategy for the financial mechanisms that would underpin such scaling. There is no clearly articulated expectation for investment from either the public or private sectors to enable this expansion. Similarly, there is limited clarity on stakeholder involvement, nor established specific timelines and milestones for scaling the pilots. This creates uncertainties that challenge the sustainability of this component of the project, as it hampers the long-term integration of its outputs into broader governmental and sectoral frameworks. Realizing this potential will require sustained efforts to document and share lessons learned, engage key stakeholders and decision-makers, and create mechanisms for scaling up and replicating successful interventions. As adaptation planning and implementation moves forward in Uzbekistan, it will be important to prioritize these catalytic and replication strategies alongside the direct implementation of adaptation interventions.

3.3.10. Progress to Impact

First of all, a rigorous and detailed assessment of the project's impact is not possible with the resources and timeline allocated for this evaluation. The assessment of impact is an exercise of altogether different nature that requires a different approach and budget. Furthermore, the real impact of the project is a continuous and long-term process that will take time to fully materialize. Changing the dynamics and mechanisms of government systems and procedures in the area of climate change mitigation involves addressing deep-rooted structures, processes, and norms. These changes do not happen overnight. Also, it takes time to train staff and members, implement new systems, and embed new skills, knowledge and customs. It takes even longer for these new abilities to lead to improved performance and then result in observable outcomes. Furthermore, attributing the effects of project activities to changes in adaptation planning and implementation is particularly challenging, given the complex and multi-faceted nature of the NAP process. The project has had to balance the need for rigorous impact assessment with the practical realities of time, resources, and data limitations.

Despite these challenges, for the purpose of this evaluation, it is possible to outline in broad brushes the contributions of the project to Uzbekistan's institutional and policy infrastructure for climate change adaptation. The following is a summary of the project's progress to impact in key areas.

Mainstreaming Adaptation Planning

The NAP project has promoted the mainstreaming adaptation planning into national and sectoral development processes in Uzbekistan. The establishment of the Inter-Agency Working Group (IAWG) has provided a formal coordination mechanism for multi-sectoral adaptation planning and implementation. The IAWG, consisting of representatives from 16 agencies and 12 representatives from three pilot regions, has facilitated the integration of adaptation considerations into the policies, plans, and budgets of key sectors and regions.

The project has also supported the drafting of a Strategy on climate change until 2030 for the Republic of Uzbekistan, which includes COP26 outcomes relevant to the country. This strategic document provides a long-term vision and framework for guiding adaptation efforts at the national level. The integration of adaptation priorities into this high-level policy document ensures that adaptation becomes a central component of Uzbekistan's development agenda.

Moreover, the project has supported the development of draft sectoral adaptation plans for agriculture, water resources, healthcare, construction, and emergency management. The integration of these sectoral adaptation plans into the planning and budgeting processes of the respective sectors will help to mainstream adaptation actions and investments. The project has also conducted a comprehensive assessment of institutional barriers to the integration of climate change into development planning and policies. The identification of these barriers and the formulation of recommendations to overcome them provide a roadmap for strengthening the enabling environment for adaptation planning and implementation.

Strengthening Evidence Base for Decision-making

The NAP project has contributed to strengthening the evidence base for adaptation decision-making in Uzbekistan. The project has conducted a series of assessments and studies to generate the necessary data, analysis, and recommendations to inform adaptation planning and prioritization.

One of the key outputs of the project is the Consolidated Report on capacity gaps assessment, which focuses on identifying and addressing the gaps in technical capacities of national stakeholders in the IAWG. This report provides a comprehensive assessment of the institutional and individual capacities needed for effective adaptation planning and implementation, and offers targeted recommendations for capacity building and institutional strengthening.

The project has also conducted vulnerability assessments for key sectors, including water resources, agriculture, and health. These assessments have yielded valuable insights into the specific risks and impacts of climate change on these sectors, as well as the vulnerabilities of different regions and population groups. The results of these assessments have been

summarized and published, providing a robust evidence base for prioritizing adaptation interventions and investments.

In addition, the project has supported the development of climate and gender-sensitive indicators and their integration into the national statistics database. The training of personnel to report and update this database ensures that adaptation progress can be regularly monitored and evaluated, and that decision-making is informed by up-to-date and relevant data.

Developing Tools and Methodologies for Adaptation

The NAP project has supported the development of tools and methodologies for adaptation planning and implementation, which are critical for guiding the process of identifying, prioritizing, and implementing adaptation measures in a systematic and evidence-based manner. One of the key tools developed by the project is the set of guidelines for conducting vulnerability assessments and developing sectoral and regional adaptation plans. These guidelines provide a standardized and replicable methodology for assessing the risks and impacts of climate change on different sectors and regions, and for identifying and prioritizing adaptation options based on their feasibility, effectiveness, and cost-efficiency. The application of these guidelines in the development of the draft sectoral and regional adaptation plans under the project has demonstrated their practicality and relevance.

The project has also developed tools and methodologies for the economic assessment and prioritization of adaptation options. The training of national specialists from key ministries and departments on these tools and methodologies has enhanced the capacity of government institutions to conduct cost-benefit analyses and rank adaptation options based on their economic returns and social and environmental co-benefits. The integration of these economic assessment tools into the appraisal process of the IAWG sub-set for adaptation investments will help to ensure that limited resources are allocated to the most effective and efficient adaptation measures.

In addition, the project has developed recommendations and inputs for gender-focused options for private sector engagement in climate change adaptation. These recommendations provide guidance on how to design and implement adaptation interventions that are responsive to the differential needs and vulnerabilities of women and men, and that promote gender equality and women's empowerment. The integration of these gender considerations into the adaptation financing and investment strategy will help to ensure that adaptation investments are inclusive and equitable.

Finally, the project has reviewed and compiled best practices and lessons learned from adaptation planning and implementation in other countries. These experiences have been analyzed and tailored to the specific context of Uzbekistan, providing valuable insights and guidance for the design and implementation of adaptation measures in the country. The dissemination of these best practices and lessons learned through knowledge products and events will help to build the capacity of adaptation practitioners and decision-makers in Uzbekistan and beyond.

Despite these achievements, there are several challenges and limitations to the development of an adaptation financing and investment strategy in Uzbekistan.

- One of the main challenges is the limited availability of domestic resources for adaptation, given competing development priorities and fiscal constraints. While international climate finance can help to bridge this gap, accessing these funds can be complex and time-consuming, requiring strong institutional capacities and coordination.

- Another challenge is the need to ensure that adaptation financing and investments are sustainable and long-term. Many adaptation measures, such as infrastructure projects and ecosystem-based approaches, require upfront investments and ongoing maintenance and operation costs. Ensuring the financial viability of these measures over the long term will require innovative financing models and partnerships, as well as strong monitoring and evaluation systems to track their effectiveness and impact.

- Collecting reliable and consistent data on climate vulnerabilities, adaptation capacities, and project results remains a challenge, particularly in some of the target sectors and regions. The project has had to rely on a mix of primary and secondary data sources, including government statistics, field surveys, and expert assessments. Strengthening national data management systems and capacities will be important for future adaptation planning and M&E efforts.

- Also, engaging the private sector in adaptation financing and investments can be challenging, given the perceived risks and uncertainties associated with climate change. Overcoming these barriers will require targeted awareness-raising and capacity building efforts, as well as the development of enabling policies and regulations that create incentives for private sector participation.

* * *

Overall, the NAP project has made notable contributions in mainstreaming adaptation planning, strengthening the evidence base for decision-making, and developing tools and methodologies for prioritizing adaptation measures and enhancing climate-responsive financing. These contributions have helped to build Uzbekistan's adaptive capacity and resilience to climate change impacts and have laid the foundation for more ambitious and coordinated adaptation action in the future.

4. LESSONS LEARNED

The following are a set of lessons drawn from the experience of the project.

***Lesson 1*: Importance of strong national ownership and coordination**

Strong national ownership and leadership are essential for the success and sustainability of adaptation planning efforts. In the case of the NAP project, Uzhydromet has played a central role in coordinating and mainstreaming adaptation across various sectors and levels. The NAP project has demonstrated the importance of national ownership by emphasizing Uzhydromet's leadership in guiding the adaptation planning process while leveraging UNDP's technical expertise and operational support.

Effective adaptation planning requires a whole-of-society approach, involving collaboration and partnerships among diverse stakeholders, including government agencies, development partners, civil society, and the private sector. The NAP project has highlighted the value of fostering such partnerships to ensure a comprehensive and inclusive approach to adaptation planning. By engaging a wide range of stakeholders, the project has been able to tap into various sources of knowledge, expertise, and resources, leading to more robust and sustainable outcomes.

A key lesson from the NAP project is the critical importance of stakeholder engagement and coordination in advancing effective and sustainable adaptation planning and implementation. The establishment and operationalization of the Inter-Agency Working Group (IAWG) on adaptation serve as a prime example of this lesson. The IAWG provides a dedicated platform for bringing together diverse government agencies, civil society organizations, academic institutions, and development partners to guide and coordinate adaptation efforts. This collaborative approach ensures that adaptation planning is informed by a wide range of perspectives, expertise, and experiences, leading to more comprehensive and effective strategies. Moreover, the IAWG helps to foster a sense of shared ownership and responsibility among stakeholders, enhancing the sustainability and long-term impact of adaptation efforts.

Lesson 2: Need for sustained capacity building and institutional strengthening

Adaptation planning is a complex and iterative process that requires ongoing capacity building and institutional strengthening to effectively address the challenges posed by climate uncertainty and change. The NAP project highlighted the importance of sustained investment in training, tools, and institutional arrangements to ensure the long-term success of the adaptation planning process.

Capacity building is essential for equipping stakeholders with the knowledge, skills, and resources needed to effectively engage in adaptation planning. This includes training on climate risk assessment, vulnerability analysis, adaptation option prioritization, and monitoring and evaluation. The NAP project has demonstrated the value of investing in capacity building activities, such as workshops, seminars, and training sessions, to enhance the technical and

institutional capacities of government agencies, civil society organizations, and other stakeholders involved in adaptation planning.

In addition to capacity building, strengthening institutional arrangements is crucial for the long-term success of the NAP process. This involves establishing and maintaining effective coordination mechanisms, such as the Inter-Agency Working Group (IAWG) on adaptation, to facilitate collaboration and information sharing among stakeholders. It also involves integrating adaptation considerations into existing planning and decision-making processes, such as sectoral policies and budgets, to ensure that adaptation is mainstreamed across all relevant sectors and levels of government.

Moreover, given the uncertainties associated with climate change, adaptation planning requires a flexible and adaptive approach. This means regularly updating adaptation plans and strategies based on new information, changing circumstances, and lessons learned from implementation. Sustained investment in monitoring and evaluation systems is crucial for tracking progress, identifying gaps and challenges, and informing future adaptation efforts.

Lesson 3: Need for an integrated approach to adaptation mainstreaming

The experience of the NAP project shows the importance of adopting a holistic and integrated approach to mainstreaming adaptation into development planning, budgeting, and implementation. This lesson emphasizes the need to pursue adaptation mainstreaming at multiple levels and scales, rather than relying on siloed or project-based interventions.

The project's focus on adaptation planning and integrating adaptation considerations into sectoral and local planning and budgeting processes highlights the value of a multi-level approach to adaptation mainstreaming. By working across key sectors such as agriculture, water, health, and housing, and engaging both national and sub-national government agencies, the project promotes a more systemic and cross-cutting approach to adaptation. This integrated approach recognizes the interconnected nature of climate risks and the need for coordinated action across different sectors and levels of government.

Moreover, the NAP project has shown the importance of developing a financing approach, engaging the private sector, and strengthening M&E frameworks. This approach goes beyond integrating adaptation into planning processes and recognizes the need for adequate financial resources, private sector engagement, and robust monitoring and evaluation systems to support sustained adaptation action.

However, the project's experience also highlights the challenges associated with pursuing an integrated approach to adaptation mainstreaming. These challenges include navigating complex institutional landscapes, aligning adaptation with existing development priorities and processes, and securing the necessary resources and capacities for sustained mainstreaming efforts. Overcoming these challenges requires ongoing efforts to build awareness and capacities for adaptation mainstreaming among stakeholders, foster high-level political will and leadership to prioritize adaptation, and mobilize adequate and predictable resources for implementation.

5. CONCLUSIONS

The following are some key conclusions from the evaluation of the "*Sector driven National Adaptation Plan (NAP) to advance medium- and long-term adaptation planning in Uzbekistan*" project.

- First of all, it is important to recognize that the NAP project has put planning for climate change adaptation in the agenda of key government bodies for the first time in Uzbekistan. The work that this project has initiated is groundbreaking for the country. These are foundational activities that will require substantive follow up for years to come.

- It is also important to highlight the fact that the NAP project has taken place at a time when the Government of Uzbekistan has escalated its focus on climate change adaptation due to growing recognition of its immediate and long-term impacts on national security, economic stability, and public health. This increasing government interest in climate change is evidenced by recent institutional reforms, including the re-establishment of Uzhydromet under the renamed Ministry of Ecology, Environmental Protection and Climate Change, the proposed Climate Council under the President, the creation of the National Center for Green Transformation and Adaptation to Climate Change, and the founding of the Central Asian University of Environmental and Climate Change Studies.

- This dynamic has corresponded with the last couple of years of the NAP project's life time, which is also the period when this project has really had an acceleration in its activities and results.

Project Design

- The NAP project's design has been well-structured and based on a sound logic and planning framework, aligning with Uzbekistan's national priorities and sustainable development goals. Such design is crucial for ensuring that adaptation efforts are not piecemeal or short-lived, but rather embedded in the country's overall development trajectory.

- The project's replication approach featured scalable and flexible frameworks, phased implementation, stakeholder engagement, capacity building, knowledge sharing, and the development of guidelines and best practices. By focusing on priority regions and sectors, the project tested adaptation strategies in diverse settings, providing a model for replication based on observed successes and necessary adjustments. This replication potential is essential for catalyzing further action.

- Despite the project's well-designed structure, several challenges were identified, including the mismatch between the project's ambition and available financial resources, the absence of an overarching national adaptation plan, and insufficient time for implementing all planned activities. Addressing these challenges in future projects will be crucial for ensuring that adaptation efforts are well-coordinated and adequately resourced.

Project Implementation

- In the first couple of years of implementation, the NAP project has experienced significant delays. The delay dynamics highlight the complexities and challenges of implementing a multi-sectoral and multi-level adaptation planning project in a context of limited prior experience, capacity, and resources. While some delays were beyond the project's control, such as the COVID-19 pandemic, others could have been mitigated through more realistic project design, adaptive management, and proactive risk mitigation measures.

- Nevertheless, the project has demonstrated good adaptive capabilities, adjusting its approach and activities in response to various challenges and changing circumstances. Ultimately, the project has had a good budget utilization rate, with 90% of the total budget spent as of 2024. The project's financial management has been responsive to changing needs, with budget reallocations made to reflect evolving priorities and circumstances.

- The project put in place an M&E system, with a well-designed results framework, SMART indicators, and regular reporting and risk monitoring. However, there were opportunities to strengthen the M&E approach, particularly in terms of focusing on outcome-level results and increasing stakeholder involvement in the M&E process.

- The project has benefited from the adequate support provided by UNDP and Uzhydromet. UNDP has brought significant technical expertise, operational capacity, and financial resources to the project, while Uzhydromet has provided the necessary institutional leadership, technical expertise, and coordination to support the development of a comprehensive and evidence-based NAP process.

Project Results

- The project has been highly relevant to Uzbekistan's environmental and developmental priorities and needs. It has been well-aligned with national strategies, policies, and international commitments related to climate change adaptation, green economy, and sustainable development. It has demonstrated good national ownership, with strong partnerships with government bodies at the national and local levels. However, the engagement of civil society organizations, the private sector, and local communities has been limited, despite efforts to involve these stakeholders.

- The project has established institutional arrangements, developed capacities, conducted vulnerability assessments, and drafted sectoral and regional adaptation plans. However, some key outputs, such as the finalization of adaptation plans and the financing and investment strategy, are still in progress and will require further attention to ensure their successful completion and implementation.

- The NAP project has faced significant implementation challenges and delays, particularly in its early stages, due to the COVID-19 pandemic, procurement issues, and capacity constraints. However, under new management and with adaptive measures, the project has

been able to accelerate progress and deliver most of its planned outputs within the revised timeframe and budget.

- The sustainability of the project's results is dependent on several factors, including the formal adoption and implementation of the adaptation plans and financing strategy, the strengthening of institutional capacities and coordination mechanisms, the establishment of effective monitoring and evaluation systems, and the mobilization of additional resources and partnerships. While the project has made important contributions to the enabling environment for adaptation in Uzbekistan, there are risks and uncertainties that could affect the long-term sustainability of its outcomes.

- The project's experience also highlights the challenges and limitations of achieving transformational change within the constraints of a time-bound project, underscoring the need for sustained engagement, investment, and learning to realize the full benefits of adaptation efforts.

Looking Forward

- UNDP and the Government are starting preparations and consultations for applying for a second NAP project phase for subsequent GCF funding to further advance the national adaptation planning process.
- This is the opportune moment for taking further action in this area as the NAP project has laid good foundations through the planning process. Also, the level of awareness among national and local government bodies now is much higher.

- The Ministry of Ecology, Environmental Protection and Climate Change – and in particular the Center for Climate Change which is expected to be established under it – will have direct responsibilities for climate change adaptation and will be the key player and main UNDP focal point in this area.

- The key priority for the next step will be the implementation of the adaptation plans. This will require a lot of work on many challenges that stand in the way to implementation. But the process is crucial as the benefits of climate change adaptation lie in the actual implementation of the adaptation plans.

- At the same time, it will be important to maintain the planning dynamic and expand it to other sectors and other regions. The experience of the NAP project is crucial for this as it bears a lot of lessons that can be used to navigate the formulation process more effectively.

- Going forward, the partners will need to continue investing in stakeholder engagement and partnership building to ensure the sustainability and scalability of its adaptation efforts.

- In the process, it will also be necessary to further strengthen and formalize coordination mechanisms, such as the Inter-agency Working Group.

Overall Project Performance Rating

Monitoring and Evaluation	
Overall quality of M&E	S
M&E design at project start up	MS
M&E Plan Implementation	S
IA & EA Execution	
Overall Quality of Project Implementation/Execution	S
Implementing Agency Execution	S
Executing Agency Execution	S
Outcomes	
Overall Quality of Project Outcomes	MS
Relevance	R
Effectiveness	MS
Efficiency	MS
Sustainability	
Overall likelihood of Sustainability:	ML
Financial resources	ML
Socio-economic	L
Institutional framework and governance	ML
Environmental	L
Overall Project Results	**MS**

6. RECOMMENDATIONS

The evaluation identified the following key recommendations for project stakeholders. Given that the project is at its closing stage, many of these recommendations are forward-looking in nature and relate to measures that could be taken to promote the project's objectives and carry the agenda forward. They are addressed to both UNDP and the Government of Uzbekistan.

8. **Completing Pending Activities**:

- The project team, along with UNDP and government partners, should prioritize the completion of all pending activities before the project concludes.
- Key immediate actions include finalizing the adaptation plans and the financing strategy, and actively advocating for the approval of these plans, including developing a clear roadmap for this approval process.
- Additionally, it is essential to accurately identify and document any activities that the project will transfer to other UNDP projects or government entities, ensuring these are handed over systematically for continued implementation.
- The project team and partners involved in the project should review all remaining tasks and assess what can realistically be accomplished before the project's closure. Any tasks that cannot be completed within this timeframe should be transferred to the Ministry of Environment. This transfer should include a detailed action plan that outlines the necessary steps for the completion of these activities, ensuring clarity and continuity in the project's objectives.

9. **Implementation, Scalability and Replication**:

- The focus of the partners going forward for the area of climate change adaptation should be on the actual implementation of the formulated plans. Implementation will be way more complex than formulation and will require a lot of coordination and resources. The NAP project provides good foundations for continued work on implementation.
- Any future project in this area should pay greater attention to the issue of sustainability, by developing a clear strategy for scaling successful adaptation initiatives and replicating them in other regions or sectors, ensuring financial, institutional, and community support for broad implementation.

10. **Strengthen Stakeholder Engagement**:

- Future adaptation projects should increase the engagement of civil society, academia, local communities, and the private sector. Projects like NAP should establish structured mechanisms for active participation of NGOs and academic institutions in the adaptation planning process, not only consulting these groups but

integrating their local knowledge and research capabilities into the development of sectoral and regional adaptation plans.

- The private sector's potential contribution to adaptation efforts should be maximized by actively involving businesses in the development of financing and investment strategies for adaptation. This approach should aim to foster public-private partnerships, encourage sustainable business practices, and stimulate private investments in climate-resilient initiatives.
- Adaptation projects in the future should actively engage national financial institutions like the Ministry of Economy and Finance from the project inception to ensure alignment with national financial planning and to facilitate the integration of adaptation strategies into national and sectoral budgets.

11. **Focus on Capacity Building**:

- UNDP should continue and expand capacity-building programs for local institutions, government officials, and stakeholders to ensure the sustainability and effectiveness of climate adaptation measures.
- This work should include training that includes gender considerations and the specific impacts of climate change on various demographic groups.

12. **Enhance Data Management and Monitoring**:

- Future work in this area should strengthen data collection and monitoring systems to ensure access to reliable and timely data for decision-making.
- This could include the development of a centralized platform for adaptation-related data to facilitate effective monitoring and evaluation of adaptation strategies.

13. **Expand Financial Strategies for Long-Term Sustainability**:

- Future work in this area should focus on developing innovative financing mechanisms, including public-private partnerships, to support long-term sustainability of adaptation measures.
- It will also be essential to explore and promote market-based mechanisms to engage the private sector in financing and implementing adaptation strategies.

14. **Gender Mainstreaming and Inclusion**:

- In any similar project in the future, UNDP should conduct a comprehensive gender analysis at the project's outset to guide gender mainstreaming efforts effectively.

ANNEX I: EVALUATION'S TERMS OF REFERENCE

Terms of References

I. Identification of the Position Job Title: International Terminal Evaluation Consultant Project: Sector driven National Adaptation Plan (NAP) to advance medium- and long-term adaptation planning in Uzbekistan Supervisor: Programme Associate on Monitoring and Evaluation, and Quality Assurance Location: Home-based and in Tashkent and in pilot Aral Sea region, Uzbekistan Travel requirement: Mission to Tashkent and pilot Aral Sea region, Uzbekistan Application deadline: 4/15/2023 Type of Contract: International Duration: May 2023 – 10 April 2024 (up to 25 working days)

II. Background and context Uzbekistan, the most populous country in Central Asia with about 31.6 million people as of mid-2016, was ranked 114 out of 188 in the UNDP's 2015 Human Development Index. About half the population lives in urban areas and 12.3% lived below the national poverty line in 2016. A sharp increase in income inequality has hurt the lower ranks of society since independence in 1991.

Significant climate risks are already evident in Uzbekistan, with observed warming trends since 1951 occurring at more than twice the global average. Reductions in water resources, changing precipitation patterns, prolonged droughts and extreme weather events are predicted. About 20% of the population is currently affected by water salinization. The disappearance of the Aral Sea, losing 57% of surface area, 80% of volume and 64% of depth in four decades, has turned the basin into the Aralkum salt desert affecting the entire country's ecology.

The lowest income population, dependent on subsistence agriculture, faces increased vulnerability to climate change. The government recognizes the urgent need for adaptation measures.

This project aims to advance the adaptation planning process for priority climate-sensitive sectors and regions in Uzbekistan. The main beneficiaries will be the Agency of Hydrometeorological Service (Uzhydromet), Ministry of Investments, Industry and Trade (MIIT) as National Designated Authority,

and stakeholders from agriculture, water, health, housing and emergency management in the target provinces of Karakalpakstan, Bukhara and Khorezm.

Gender inclusiveness is central to the NAP process, recognizing adaptation cannot be successful without involvement of all Uzbeks, particularly women. Gender concerns will be at the forefront of all three project outcomes.

Project information:

- Title: Sector driven National Adaptation Plan (NAP) to advance medium- and long-term adaptation planning in Uzbekistan
- Quantum ID: 00105927
- Corporate outcome/output: UNDP Strategic Plan 2018-2021 Signature solution 3 and 2022-2025 Signature solution on Resilience
- Country: Uzbekistan
- Project document signed: 12 February 2020
- End date: 14 May 2024
- Budget: USD 1,611,944
- Expenditure at evaluation time: TBC
- Funding: Green Climate Fund Readiness Programme
- Implementing party: UNDP

The overall objective is to advance the adaptation planning process for priority climate-sensitive sectors and regions in Uzbekistan. Despite government strides in recent years, climate change adaptation is not sufficiently integrated into Uzbekistan's development planning and budgeting.

The project was endorsed in October 2019 but operational launch was delayed to COVID-19. Uzbekistan introduced restrictions in July 2020 as cases rose, limiting vehicle movement, sending government employees on leave, banning events and inter-region transport. Quarantine measures were

extended to August 1. GCF granted up to six-months extension and the project readjusted activities to the new mode of work.

Three outcomes are designed to advance medium and long-term adaptation planning:

1. Coordination mechanism for multi-sectoral adaptation planning and implementation strengthened

2. Evidence base strengthened and adaptation prioritized into national and sectoral planning and budgeting

3. An adaptation financing and investment strategy developed

III. Evaluation purpose, objectives and scope a) Purpose UNDP commissions evaluations to capture evidence of its contributions to development results as articulated in the CPD.

This independent evaluation will capture evidence of the NAP project's relevance, effectiveness, efficiency, sustainability, and gender and cross-cutting issues incorporation to assess achievement of results. It will determine how beneficiaries have benefited and lessons learned to improve sustainability and aid UNDP programming enhancement. The evaluation serves an accountability function, providing an impartial assessment to national stakeholders and partners.

b) Objective
The evaluation will assess project performance against the results framework, considering pertinent outcomes and outputs focused on advancing medium- and long-term adaptation planning in relations

to CPD Outcome 4 and Output 4.1 on innovative and sustainable climate change adaptation initiatives.

An analysis across the 3 outcomes is expected. The evaluation aims to provide forward-looking recommendations to GCF and UNDP on sustainability and scaling up potential.

c) Scope The evaluation will assess the extent to which planned outcomes and outputs have been achieved since 12 February 2020 and likelihood of full achievement by 14 May 2024. It will investigate overall performance and results, capturing changes triggered in climate change adaptation.

Processes, partnerships and linkages in the country context critical to producing outputs and factors facilitating/hindering progress will be examined, including the external environment, risks, crisis, as well as internal weaknesses.

IV. Evaluation criteria and key questions
The evaluation will determine the project's relevance, coherence, effectiveness, efficiency, impact and sustainability, including lessons learned and forward-looking recommendations:

Relevance and coherence

- Relevance of objectives to country needs and priorities
- Appropriateness of delivery method to development context
- Relevance of theory of change
- Consistency with global, regional, country environmental policies and strategies
- Relevance to key stakeholder groups
- Relevance of steps to adjust strategy for COVID-19

Effectiveness

- Evidence of contribution to improving government capacity and institutional strengthening
- Extent intended results achieved and main accomplishments
- Reasons for success/failure in producing outputs and meeting quality standards
- Extent and effectiveness of specific approach and actions to outputs and outcomes
- Contribution of partners to outcome and effectiveness of partnerships
- Effectiveness in helping improve climate change adaptation planning

Efficiency

- Strategic and economical allocation of resources to achieve results
- Implementation of activities as scheduled with planned financial resources
- Appropriateness of relationship between inputs and results
- Active role of target groups and stakeholders in implementation

- Efficiency of partner institutions in supporting implementation
- Communication and outreach
- Economical use of financial and human resources
- Soundness of M&E plan to monitor results and track progress

Impact

- Qualitative and quantitative impact from broader development perspective
- Positive/negative, intended/unintended changes
- Real differences made to beneficiaries and number of people affected
- Equal benefits to women and men
- Change in gender equality
- Satisfaction of key stakeholders/beneficiaries and remaining issues
- Elevation of cooperation between institutions
- Contributions to changes in socio-economic status
- Effective addressing of cross-cutting issues
- Mid-term and long-term policy influence on climate change adaptation
- Barriers and risks to further progress

Sustainability

- Sustainability of achieved outcomes and outputs
- Potential for further sustainable projection and expansion of results
- Mechanisms to support government in sustaining improvements
- Extent of sustainability strategy development and implementation
- Social or political factors influencing sustenance of results
- Level of ownership by main stakeholders
- Awareness, interest, commitment and incentives to utilize tools and approaches
- Innovations/best practices to further build upon
- Opportunities for financial sustainability

Catalytic role

- Behavioral changes catalyzed in capacities use and application

- Contribution to institutional changes in uptake of technologies, practices, approaches
- Contribution to policy changes
- Contribution to catalytic financing
- Creation of opportunities for individuals/institutions to catalyze change

Cross-cutting issues

- Extent poor, indigenous, women and marginalized groups benefited
- Extent gender addressed in design, implementation, monitoring
- Promotion of positive changes in gender equality and any unintended effects
- Human rights consideration

Future-looking concept and recommendations

- Possible after-project priority interventions and recommendations to ensure sustainability and accelerate development
- Possible after-project recommendations for GCF and UNDP related to policy influencing for sustainability and scaling up

The evaluation team will summarize main findings, draw conclusions, highlight strengths and weaknesses, and provide insights into solutions. Recommendations should be concrete, practical and feasible. Lessons learned should capture knowledge gained applicable to other interventions. Results related to gender equality and women's empowerment should be included.

V. Methodology The participatory evaluation will employ relevant quantitative, qualitative or combined methods, with focus on gender sensitive data collection and analysis. The evaluators will combine standard and other tools to ensure reliability and validity.

Evidence will be triangulated from various sources, including indicator data, reports, interviews, focus groups, surveys and site visits (if possible given COVID-19, otherwise remote interviews). The

specific design and methodology, including interview schedule, site visits and data used, will be outlined in the inception report and agreed with UNDP and stakeholders.

Limitations and mitigation measures shall be made explicit. The following data collection steps are anticipated:

- Desk review of key documents
- Field data collection (if feasible) or remote interviews with partners, stakeholders; surveys; participatory techniques

The evaluators will carry out the process with careful consideration of the TOR and ensure a design that does not put informants at risk. Expected duration is up to 25 working days from May 2023 to April 2024.

VI. Evaluation tasks/deliverables The evaluators will be responsible for:

Inception Report

- Clarify objectives, methodology, timing
- Elaborate evaluation matrix
- Propose schedule of tasks, activities, deliverables
- Follow structure in UNDP guidelines
- Detail timing for activities and deliverables, site visits, stakeholders
- Develop protocols for different stakeholders
- Discuss and agree with UNDP before proceeding
- Maximum 15 pages

Draft Terminal Evaluation Report

- Prepare based on desk review and data collection findings
- Submit to UNDP and stakeholders for review
- Present findings, lessons learned, recommendations separately

Presentation at validation workshop

- Share draft report with UNDP to circulate to stakeholders
- Present draft at UNDP organized validation workshop
- Allow 7 working days for stakeholders comments
- Consider briefings on immediate findings with UNDP senior management

Final Terminal Evaluation Report

- Consider feedback from validation workshop
- Produce audit trail of comments incorporation
- Provide forward-looking actionable recommendations outlining strategic priorities post-project
- Maximum 40 pages

VII. Evaluation timeframe Activity, Deliverable, Workdays, Deadline

- Review materials, develop work plan; Inception report; 5 Int, 4 Nat; 1 March 2024
- Inception Meeting; Draft Inception Report
- Review docs, interview stakeholders, field visits, analyze data, draft report; Draft TE Report; 14 Int, 15 Nat; 15 Mar 2024
- Present draft at validation workshop; Final TE Report; 6 Int, 6 Nat; 10 Apr 2024
- Finalize report incorporating additions/comments
- Total 25 Int, 25 Nat

VIII. Evaluation team composition and required competencies The evaluation will be undertaken by 2 external independent evaluators - an International TE Consultant/Team Leader and a National TE Consultant. The Team Leader will oversee the entire process, manage the national consultant, and be

responsible for the final product. The national expert will assess trends in regulatory frameworks, budgets, capacity building, arrange stakeholder meetings, provide translation, collect feedback.

The evaluators cannot have participated in the project preparation, formulation, implementation and should not have a conflict of interest.

The Team Leader is expected to provide an independent review of achievements; capture underperformance; assess partnership strategy; capture beneficiary feedback; produce the report; and provide strategic forward-looking recommendations beyond this phase.

Tasks:

- Work under supervision of UNDP DRR with SPIU M&E Associate support
- Ensure quality and timely submission of deliverables
- Ensure timely, rational planning, implementation and achievement of results per TOR
- Provide work results per deliverables
- Provide reports electronically in MS Word in English

Competencies and qualifications:

- Minimum Master's in climate change adaptation, risk management, natural resources or related
- Minimum 10 years professional experience in climate change adaptation, including development project evaluation
- Knowledge of UNDP and GEF/GCF M&E policies and guidelines
- Experience in GEF/GCF project implementation and evaluation
- Knowledge of results-based management, M&E methodologies, SMART indicators
- Experience in Uzbekistan/the region an asset
- Understanding of climate change adaptation and gender responsive evaluation
- Experience with UN agencies an asset
- Fluency in English, Russian an asset

Core competencies:

- Demonstrates professional competence, conscientiousness, efficiency
- Results-orientation, innovative practical solutions
- Excellent communication skills
- Ability to interact, establish relations with diverse team
- Client orientation, pro-activeness

Core values:

- Demonstrates integrity, fairness, UN values and standards
- Displays cultural, gender, religion, race, age sensitivity and adaptability

IX. Evaluation ethics The evaluation will be conducted per UNEG Ethical Guidelines for Evaluation principles. The evaluators shall safeguard rights and confidentiality of information providers, interviewees and stakeholders through measures ensuring compliance with legal and other relevant codes. The evaluators must ensure security of collected information and use solely for the evaluation. They must be free from conflicts of interest.

X. Implementation arrangements and reporting
UNDP will select the evaluators through standard procurement and be responsible for their management. The SPIU M&E Associate will be the focal point and oversee the process. An evaluation reference group will provide inputs to strengthen quality. The Country Office Senior

Management will be responsible for approving the report. UNDP will support remote/virtual meetings. An updated stakeholder list will be provided.

The evaluation will use a standardized rating system proposed in the inception report. Performance will be rated for relevance, effectiveness, efficiency, sustainability, gender equality and impact.

While UNDP will provide some logistical support, the evaluators will be responsible for arranging most travel and interviews. Planned travels and costs will be included in the inception report.

XI. Application process Financial proposals must be "all inclusive" and expressed as a lump-sum for the total duration. The term "all inclusive" implies all costs (professional fees, travel, living allowance, etc.).

Recommended presentation:

1. Letter of Confirmation of Interest and Availability using UNDP template
2. CV and Personal History Form (P11)
3. Brief description of approach/technical proposal (max 1 page)
4. Financial proposal indicating total contract price, supported by a breakdown, as per template

Criteria for selection:

- Only responsive, compliant applications evaluated
- Combined Scoring - educational background and experience 70%, price 30%
- Highest Combined Score and acceptance of UNDP terms awarded contract

Evaluators obtaining minimum 49 points considered for financial:

Technical Criteria 70%

- Desk review of CVs - relevant professional experience (20)
- Desk review of CVs - GEF/GCF evaluation experience (15)
- Qualifications, language (10)
- Methodology approach (10)
- Interview (15)

Financial 30%

Additional:

- IC applicable for individuals, RLA for applicants employed by entity
- No-objection letter and leave status confirmation needed from government employees

Engagement of government officials/employees considerations provided.

Payment schedule:

- 20% upon satisfactory delivery of final inception report
- 40% upon satisfactory delivery of draft TE report
- 40% upon satisfactory delivery of final TE report and audit trail

Criteria for final 40%:

- Final report includes all TOR requirements
- Clearly written, logically organized, specific to project
- Audit trail includes responses and justification for each comment

Partial payment considered if invested time but unable to complete due to COVID-19.

XII. Annexes to the TOR

- List of annexes provided, including project package for review, report content outline, evaluation criteria matrix template, Code of Conduct for Evaluators, rating scales, report clearance and audit trail forms.

ANNEX II: EVALUATION CRITERIA AND KEY QUESTIONS

The following are the evaluation criteria identified in the evaluation's Terms of Reference.

Relevant evaluation criteria	Key questions suggested
Relevance and Coherence	▪ Were the Project objectives relevant to the needs and priorities of the country, having in mind political, social, legal and institutional context of the country? ▪ To what extent has NAP's selected method of delivery been appropriate to the development context? ▪ To what extent was the theory of change presented in the outcome model a relevant and appropriate vision on which to base the initiatives? ▪ Where the Project's objectives and implementation strategies consistent with global, regional and country's environmental policies and strategies, considering the Readiness Programme of Green Climate Fund and UN/UNDP Strategic Frameworks, and Agenda 2030? ▪ Based on an analysis of Project stakeholders, the evaluation should assess the relevance of the Project intervention to key stakeholder groups. ▪ Were adequate the steps taken by the Project to adjust its implementation strategy to the new circumstances and needs imposed by COVID-19 pandemic relevant?
Effectiveness	▪ What evidence is there that the programme has contributed towards an improvement in national government capacity, including institutional strengthening? ▪ To what extent have the intended results been achieved? What are the main Project accomplishments? ▪ Briefly explain the reasons behind the success (or failure) of the Project in producing its different outputs and meeting expected quality standards? Were key stakeholders appropriately involved in producing the programmed outputs? ▪ To what extent and how effectively have the Project specific approach and actions contributed to its outputs and outcomes? If so, why? If not, why not? ▪ What has been the contribution of partners and other organizations to the outcome, and how effective have the programme partnerships been in contributing to achieving the outcome? ▪ Has the NAP programme been effective in helping improve climate change adaptation planning in Uzbekistan?
Efficiency	▪ Have resources (financial, human, technical) been allocated strategically and economically to achieve the Project results? Were the Project activities implemented as scheduled and with the planned financial resources? Is the relationship between Project inputs and results achieved appropriate and justifiable? ▪ To what extent have the target groups and other stakeholders taken an active role in implementing the Project? What modes of participation have taken place? How efficient have partner institutions been in supporting the Project's implementation? ▪ Has the communication and outreach of the Project been satisfactory? ▪ Has there been an economical use of financial and human resources and strategic allocation of resources (funds, human resources, time, expertise, etc.)? ▪ Did the Project have a sound M&E plan to monitor results and track progress towards achieving Project objectives?

Sustainability	▪ To what extent are the achieved outcomes and outputs sustainable? How could Project's results be further sustainably projected and expanded, having in mind the remaining needs? And by which institutions? ▪ What mechanisms have been set in place by NAP to support the Government of Uzbekistan to sustain improvements made through these interventions? ▪ To what extent has a sustainability strategy, including capacity development of key national stakeholders, been developed or implemented? How has the project developed appropriate institutional capacity (systems, structures, staff, expertise, etc.) that will be self-sufficient after the project closure date? ▪ Are there any social or political factors that may influence positively or negatively the sustenance of Project results and progress towards impacts? Is the level of ownership by the main stakeholders sufficient to allow for the Project results to be sustained? ▪ Are there sufficient government and other key stakeholder awareness, interests, commitment and incentives to utilize the tools, approaches and roadmaps in the development of NAPs? ▪ What are the innovations/ best practices that need to be further build upon? ▪ What opportunities exist for financial sustainability?
Impact	▪ What is the Project impact in qualitative as well as quantitative terms from a broader development and system building perspective? What would the development have been like without the Project interventions in the area of concern? ▪ What are the positive or negative, intended or unintended, changes brought about by the Project's interventions? ▪ What real differences have the Project interventions made to the beneficiaries? How many people have been affected? Have women and men equally benefited from the Project? ▪ Assess any real change in gender equality, e.g. access to and control of resources, decision-making power, division of labor, etc. ▪ To what extent are key stakeholders/final beneficiaries satisfied with the implementation and results of the Project, specifically in terms of the partnership support and what are specific remaining issues in the area of concern? ▪ To what extent has the Project elevated cooperation between relevant institutions? ▪ Were there contributions to changes in socio-economic status (income, health, well-being, etc.)? ▪ How have cross-cutting issues, such as gender equality and reaching the most vulnerable, been effectively taken up? ▪ What is the mid-term and long-term Project influence on climate change adaptation in the country resulting from the NAP policy frameworks? ▪ Identify barriers and risks that may prevent further progress towards long-term impact.

Additional Criteria	Human Rights ▪ To what extent have poor, indigenous and tribal peoples, women and other disadvantaged and marginalized groups benefitted from NAP's interventions? Gender equality ▪ To what extent has gender been addressed in the design, implementation and monitoring of the NAP programme? ▪ To what extent has NAP programme promoted positive changes in gender equality? Were there any unintended effects? ▪ How did the programme promote gender equality, human rights and human development in the delivery of outputs?

ANNEX III: EVALUATION MATRIX

Evaluation Criteria	Key Questions	Sub-Questions	Indicators/Success Standard	Data Sources	Data Collection Methods/Tools
Relevance and Coherence	Were the project's objectives relevant to the needs and priorities of the country, having in mind political, social, legal and institutional context of the country?	- What were the country's specific needs and priorities during the project? - How aligned were the project's objectives with these needs and priorities? - How did the project consider the political, social, legal, and institutional context?	- Level of alignment between project objectives and country needs - Degree of consideration for the country's context	- Project documents - Policy documents of the country - Interviews with stakeholders	- Documentary review - Interviews
	To what extent has the project's selected method of delivery been appropriate to the development context?	- What was the chosen method of delivery? - How was it chosen considering the development context? - How effective has it been in the given context?	- Adequacy and effectiveness of the method of delivery in the development context	- Project delivery reports - Feedback from beneficiaries	- Online survey with project beneficiaries - Documentary review
	To what extent was the theory of change presented in the outcome model a relevant and appropriate vision on which to base the initiatives?	- What was the presented theory of change? - How was it incorporated into the initiatives? - Was it an appropriate and relevant foundation for the initiatives?	- Applicability and relevance of the theory of change - Effectiveness of initiatives based on the theory of change	- Project reports - Theory of Change documents	- Documentary review - Focus group discussions
	Were the project's objectives and implementation strategies consistent with global, regional and country's environmental policies and strategies, considering the Readiness Programme of Green Climate Fund and UN/UNDP	- How did the project objectives align with global, regional, and country environmental policies and strategies? - Were the implementation strategies consistent with the	- Consistency of project objectives and strategies with global, regional and country policies - Alignment with Green Climate Fund, UN/UNDP	- Project documents - Global, regional, and country policy documents	- Documentary review - Interviews

	Strategic Frameworks, and Agenda 2030?	mentioned programs and frameworks?	Strategic Frameworks, and Agenda 2030		
	Based on an analysis of Project stakeholders, the evaluation should assess the relevance of the Project intervention to key stakeholder groups.	- Who were the key stakeholders? - How did the project intervention relate to their needs and interests?	- Identified key stakeholders - Relevance of project intervention to stakeholder needs and interests	- Stakeholder analysis reports - Feedback from stakeholders	- Interviews - Online survey with project beneficiaries
	Were adequate the steps taken by the project to adjust its implementation strategy to the new circumstances and needs imposed by COVID-19 pandemic relevant?	- What steps were taken to adjust the strategy due to COVID-19? - Were these adjustments relevant and adequate in the new circumstances?	- Nature of strategic adjustments due to COVID-19 - Relevance and adequacy of the adjustments in response to the pandemic	- Project documents - Feedback from beneficiaries	- Documentary review - Online survey with project beneficiaries - Focus group discussions
Effectiveness	What evidence is there that the project has contributed towards an improvement in national government capacity, including institutional strengthening?	- What specific improvements have been observed in national government capacity? - How did the project contribute to these improvements? - Were there any particular focus areas for institutional strengthening?	- Observed improvements in government capacity - Specific contributions of the project to institutional strengthening	- Government reports - Project documents	- Documentary review - Interviews
	To what extent have the intended results been achieved? What are the main accomplishments?	- What were the intended results of the project? - How many of these results have been achieved? - What are the standout accomplishments of the project?	- Achievement of intended results - List of main project accomplishments	- Project reports - Feedback from beneficiaries	- Documentary review - Online survey with project beneficiaries
	Briefly explain the reasons behind the success (or failure) of the project in producing its different outputs and meeting expected quality standards? Were key stakeholders appropriately involved in producing the programmed outputs?	- What were the reasons behind the project's success or failure in producing outputs? - Were quality standards met? - How involved were the key stakeholders in producing the outputs?	- Identified reasons for success/failure - Compliance with quality standards - Level of stakeholder involvement	- Project documents - Stakeholder interviews	- Documentary review - Interviews

	To what extent and how effectively have the project specific approach and actions contributed to its outputs and outcomes? If so, why? If not, why not?	- How did the project's approach and actions influence its outputs and outcomes? - Were there any specific reasons for their effectiveness or ineffectiveness?	- Impact of project approach and actions on outputs and outcomes - Reasons for effectiveness/ineffectiveness	- Project reports - Feedback from beneficiaries	- Documentary review - Online survey with project beneficiaries - Focus group discussions
	What has been the contribution of partners and other organizations to the outcome, and how effective have the project partnerships been in contributing to achieving the outcome?	- Who were the project's partners and what was their contribution to the outcome? - How effective were these partnerships in achieving the outcome?	- Identified contributions of partners to the outcome - Effectiveness of partnerships in achieving the outcome	- Partnership agreements - Feedback from partners	- Documentary review - Interviews
	Has the NAP project been effective in helping improve climate change adaptation planning in Uzbekistan?	- What specific improvements in climate change adaptation planning can be attributed to the project? - How effective has the project been overall?	- Identified improvements in climate change adaptation planning - Overall effectiveness of the NAP project	- Government reports on climate change adaptation - Feedback from beneficiaries	- Documentary review - Online survey with project beneficiaries - Interviews
Efficiency	Have resources (financial, human, technical) been allocated strategically and economically to achieve the projct results? Were the Project activities implemented as scheduled and with the planned financial resources? Is the relationship between Project inputs and results achieved appropriate and justifiable?	- How were resources allocated and used in the project? - Did the project follow the planned schedule and budget? - How does the input of resources compare to the achieved results?	- Strategic and economical allocation of resources - Adherence to schedule and budget - Ratio of inputs to results	- Project budget and financial reports - Project schedule	- Documentary review
	To what extent have the target groups and other stakeholders taken an active role in implementing the project? What modes of participation have taken place? How efficient have partner institutions	- How involved have target groups and stakeholders been in the project? - What forms of participation were used? - How efficiently did partner institutions support the project?	- Level of involvement of target groups and stakeholders - Types and effectiveness of participation modes - Efficiency of partner support	- Project reports - Feedback from stakeholders and partners	- Interviews - Online survey with project beneficiaries

	been in supporting the project's implementation?				
	Has the communication and outreach of the project been satisfactory?	- What communication and outreach activities were conducted? - How effective were these activities?	- Identification of communication and outreach activities - Effectiveness of communication and outreach	- Project communication and outreach reports - Feedback from beneficiaries	- Documentary review - Online survey with project beneficiaries
	Has there been an economical use of financial and human resources and strategic allocation of resources (funds, human resources, time, expertise, etc.)?	- How were financial and human resources used in the project? - Was resource allocation strategic and economical?	- Economical use of resources - Strategic allocation of resources	- Project budget and financial reports - Human resources documents	- Documentary review
	Did the project have a sound M&E plan to monitor results and track progress towards achieving Project objectives?	- Was there an M&E plan for the project? - How effective was the plan in monitoring results and tracking progress?	- Existence of an M&E plan - Effectiveness of the M&E plan	- M&E plan - M&E reports	- Documentary review
Sustainability	To what extent are the achieved outcomes and outputs sustainable? How could Project's results be further sustainably projected and expanded, having in mind the remaining needs? And by which institutions?	- How sustainable are the achieved outcomes and outputs? - What potential is there for sustainable expansion of the project's results? - Which institutions could carry this forward?	- Sustainability of outcomes and outputs - Potential for sustainable expansion - Identified capable institutions	- Project reports - Institutional analysis reports	- Documentary review - Interviews
	What mechanisms have been set in place by NAP project to support the Government of Uzbekistan to sustain improvements made through these interventions?	- What mechanisms were established by NAP? - How effective are these mechanisms in supporting sustainability?	- Identified mechanisms - Effectiveness of mechanisms in supporting sustainability	- NAP reports - Government reports	- Documentary review - Interviews
	To what extent has a sustainability strategy, including capacity development of key national stakeholders, been developed or implemented? How has the project developed appropriate institutional	- Was there a sustainability strategy in place? - What capacity development efforts were made?	- Existence of a sustainability strategy - Efforts towards capacity development	- Project reports - Capacity development reports	- Documentary review - Focus group discussions

	capacity (systems, structures, staff, expertise, etc.) that will be self-sufficient after the project closure date?	- How has the project helped develop institutional capacity that can be self-sufficient?	- Development of self-sufficient institutional capacity		
	Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main stakeholders sufficient to allow for the project results to be sustained?	- What social or political factors could influence the sustainability of project results? - Do stakeholders have sufficient ownership to sustain the project's results?	- Identified social or political factors - Level of stakeholder ownership	- Political and social analysis reports - Stakeholder analysis reports	- Documentary review - Interviews
	Are there sufficient government and other key stakeholder awareness, interests, commitment and incentives to utilize the tools, approaches and roadmaps in the development of NAPs?	- How aware and interested are government and other key stakeholders in using the project's outputs? - Are there incentives in place to motivate their use?	- Level of government and stakeholder awareness and interest - Existence of incentives	- Stakeholder analysis reports - Feedback from stakeholders	- Online survey with project beneficiaries - Interviews
	What are the innovations/ best practices that need to be further build upon?	- What innovative or best practice elements were present in the project? - How could these be further developed or used?	- Identified innovations or best practices - Potential for further development or use	- Project reports - Feedback from beneficiaries	- Documentary review - Online survey with project beneficiaries
	What opportunities exist for financial sustainability?	- What potential sources of funding or revenue could support the project's sustainability?	- Identified opportunities for financial sustainability	- Project budget and financial reports - Potential funding sources	- Documentary review - Interviews
Impact	What is the project's impact in qualitative as well as quantitative terms from a broader development and system building perspective? What would the development have been like without the project interventions in the area of concern?	- What qualitative and quantitative impacts has the project had? - How would development have progressed without the project?	- Qualitative and quantitative project impacts - Hypothetical development progress without the project	- Project reports - Beneficiary feedback	- Documentary review - Online survey with project beneficiaries

	What are the positive or negative, intended or unintended, changes brought about by the Project's interventions?	- What changes has the project caused, whether positive or negative, intended or unintended?	- Identified positive and negative, intended and unintended changes	- Project reports - Beneficiary feedback	- Documentary review - Online survey with project beneficiaries - Interviews
	What real differences have the project interventions made to the beneficiaries? How many people have been affected? Have women and men equally benefited from the project?	- What differences have beneficiaries experienced as a result of the project? - How many people were affected? - Have both women and men benefited equally?	- Identified differences experienced by beneficiaries - Number of people affected - Equal benefit for women and men	- Project reports - Beneficiary feedback	- Documentary review - Online survey with project beneficiaries - Interviews
	Assess any real change in gender equality, e.g. access to and control of resources, decision-making power, division of labor, etc.	- What changes, if any, has the project caused in terms of gender equality?	- Identified changes in gender equality	- Project reports - Gender analysis reports	- Documentary review - Focus group discussions
	To what extent are key stakeholders/final beneficiaries satisfied with the implementation and results of the project, specifically in terms of the partnership support and what are specific remaining issues in the area of concern?	- How satisfied are stakeholders and beneficiaries with the project? - What are the remaining issues?	- Level of stakeholder and beneficiary satisfaction - Identified remaining issues	- Beneficiary feedback	- Online survey with project beneficiaries - Interviews
	To what extent has the Project elevated cooperation between relevant institutions?	- Has the project increased cooperation between relevant institutions?	- Level of increased cooperation between institutions	- Institutional analysis reports	- Documentary review - Interviews
	Were there contributions to changes in socio-economic status (income, health, well-being, etc.)?	- Has the project contributed to changes in socio-economic status?	- Identified socio-economic changes	- Socio-economic analysis reports - Beneficiary feedback	- Documentary review - Online survey with project beneficiaries
	How have cross-cutting issues, such as gender equality and reaching the	- How effectively has the project addressed cross-cutting issues?	- Effectiveness in addressing cross-cutting issues	- Project reports - Cross-cutting issue analysis reports	- Documentary review

	most vulnerable, been effectively taken up?				- Focus group discussions
	What is the mid-term and long-term Project influence on climate change adaptation in the country resulting from the NAP policy frameworks?	- What influence will the project have on climate change adaptation in the mid-term and long-term?	- Identified mid-term and long-term influences on climate change adaptation	- Project reports - Climate change adaptation analysis reports	- Documentary review
	Identify barriers and risks that may prevent further progress towards long-term impact.	- What barriers and risks could hinder further progress?	- Identified barriers and risks	- Risk analysis reports - Project reports	- Documentary review
Human Rights	To what extent have poor, indigenous and tribal peoples, women and other disadvantaged and marginalized groups benefitted from project interventions?	- How have the interventions benefitted marginalized groups? - What specific benefits have these groups experienced?	- Degree of benefits experienced by marginalized groups - Specific benefits to these groups	- Project reports - Beneficiary feedback	- Documentary review - Online survey with project beneficiaries - Interviews
Gender Equality	To what extent has gender been addressed in the design, implementation and monitoring of the NAP project?	- How was gender considered during the project's design, implementation, and monitoring? - What specific measures were taken to address gender concerns?	- Degree of gender consideration during design, implementation, and monitoring - Specific measures taken to address gender	- Project reports - Gender analysis reports	- Documentary review
	To what extent has the NAP project promoted positive changes in gender equality? Were there any unintended effects?	- What positive changes in gender equality were promoted by the project? - Were there any unintended effects relating to gender equality?	- Identified positive changes in gender equality - Identified unintended effects	- Project reports - Gender analysis reports - Beneficiary feedback	- Documentary review - Online survey with project beneficiaries
	How did the project promote gender equality, human rights and human development in the delivery of outputs?	- How did the project's outputs promote gender equality, human rights, and human development? - What specific output features contributed to these goals?	- Ways in which outputs promoted gender equality, human rights, and human development - Specific output features that contributed to these goals	- Project reports - Beneficiary feedback	- Documentary review - Online survey with project beneficiaries - Interviews

ANNEX IV: LIST OF INTERVIEWEES

Time	Action/Meeting	Venue	Responsible
Sunday 31, March			
07:55 Tashkent	Arrival to Tashkent (and transfer to hotel Resting, work		Ms. Nadejda Gavrilenko, Project Manager, UNDP
Monday 1, April			
11:00 – 12:30	UNDP Country Office: Meeting with UNDP Resident Representative, discussion of the Meeting plan with national partners and about the project activities	4, Taras Schevchenko str., Tashkent	Ms. Isroiljon Khasanov, UNDP Country Office
15:00 – 17:00	Agency of Hydrometeorological Services of the Republic of Uzbekistan (Uzhydromet): Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	72, Bodomzor Yuli, passage 1, Tashkent	Ms. Nadejda Gavrilenko, Project Manager, UNDP
Tuesday 2, April			
09:00 - 15:24	Travel from Tashkent to Bukhara by Sharq train 010Ф		Ms. Nadejda Gavrilenko, Project Manager, UNDP
Wednesday 3, April			

Time	Action/Meeting	Venue	Responsible
10:00 – 11:00	Meeting with staff of the Special water management services of the Amu-Bukhara Basin Management of Irrigation Systems under Ministry of Water Resources in Bukhara Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	B.Nakshband str., 297/1, Bukhara	Ms. Nadejda Gavrilenko, Project Manager, UNDP
11:00 – 12:00	Regional office of the Ministry of Agriculture in Bukhara Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	B.Nakshband str., 297/1, Bukhara	Ms. Nadejda Gavrilenko, Project Manager, UNDP
14:00 – 15:00	Regional office of the Ministry of Health and Center For Sanitary and Epidemiological Well-Being of Bukhara Region Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	Street Alpomish 5v, Bukhara	Ms. Nadejda Gavrilenko, Project Manager, UNDP
15:30 – 16:30	Regional office of the Ministry of Emergency Situations and State fire supervision service in Bukhara Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	Street I. Muminov 2, Bukhara	Ms. Nadejda Gavrilenko, Project Manager, UNDP
22:03	Transfer to Nukus by night train 054Ф		Ms. Nadejda Gavrilenko, Project Manager, UNDP
Thursday 4, April			

Time	Action/Meeting	Venue	Responsible
7:04	Arrival to Nukus by train, work at the hotel		Ms. Nadejda Gavrilenko, Project Manager, UNDP
09:00 – 10:00	Ministry of Agriculture of the Autonomous Republic of Karakalpakstan Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	T. Qaypbergenov street 25, Nukus	Ms. Nadejda Gavrilenko, Project Manager, UNDP
10:00 – 11:00	Ministry of Water Resources of the Autonomous Republic of Karakalpakstan Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	T.Kaipbergenova str., 25, Nukus,	Ms. Nadejda Gavrilenko, Project Manager, UNDP
11:30 – 12:30	Ministry of Health and Sanitary-Epidemiological Peace and Public Health Service of the Autonomous Republic of Karakalpakstan Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	Nukus, Street Dusltlik guzari, 152	Ms. Nadejda Gavrilenko, Project Manager, UNDP
14:00 – 15:00	Regional office of the Ministry of Emergency Situations and State fire supervision service of the Republic of Karakalpakstan Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	Karakalpakstan str. 135, Nukus	Ms. Nadejda Gavrilenko, Project Manager, UNDP
15:30 – 16:30	Uzhydromet in Nukus Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	Zheketerec str.,3, Nukus	Ms. Nadejda Gavrilenko, Project Manager, UNDP
17:00 – 21:00	Transfer by car to Urgench		

Time	Action/Meeting	Venue	Responsible
Friday 5, April			
10:00 – 11:00	Regional office of the Ministry of Agriculture of Khorezm Province Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	A.Bahadur Khan str. 178, Urgench	Ms. Nadejda Gavrilenko, Project Manager, UNDP
11:00 – 12:00	Meeting with staff of the Special water management services of the Amu-Bukhara Basin Management of Irrigation Systems under Ministry of Water Resources of Khorezm Province Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	A.Bahadur Khan str. 178, Urgench	Ms. Nadejda Gavrilenko, Project Manager, UNDP
14:00 – 15:00	Regional office of the Ministry of Health and Center for Sanitary and Epidemiological Well-Being of Khorezm Province Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects		Ms. Nadejda Gavrilenko, Project Manager, UNDP
15:30 – 16:30	Regional office of the Ministry of Emergency Situations and State fire supervision service of Khorezm Province Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects		Ms. Nadejda Gavrilenko, Project Manager, UNDP
17:00 – 18:00	Regional office of the Ministry of Construction, Housing and Communal Services of Khorezm Province Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects		Ms. Nadejda Gavrilenko, Project Manager, UNDP

Time	Action/Meeting	Venue	Responsible
22:55	Transfer to Tashkent by flight HY 058		
Saturday-Sunday, 6-7, April			
	Work in Hotel		
Monday 8, April			
10:00 – 11:00	Ministry of Water Resources Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	Mirzo Ulugbek District, Karasu 4, Tashkent	Ms. Nadejda Gavrilenko, Project Manager, UNDP
11:30 – 13:00	Ministry of Agriculture Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	*Tashkent region, Kibray district, University Street 2, Tashkent 100140.*	Ms. Nadejda Gavrilenko, Project Manager, UNDP
14:30 – 15:30	Ministry of Health and Sanitary-epidemiological Welfare and Public Health Service Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	12 Navoi street, Shaykhantaur district, Tashkent	Ms. Nadejda Gavrilenko, Project Manager, UNDP
16:00 – 17:00	Ministry of ecology, environmental protection and climate change Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	Chilanzar district, Bunyodkor Avenue, 7-A, Tashkent	Ms. Nadejda Gavrilenko, Project Manager, UNDP
Tuesday 9, April			

Time	Action/Meeting	Venue	Responsible
10:00 – 11:00	Ministry of Emergency Situations and Institute of Civil Protection Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	72, Bodomzor Yuli, passage 1, Tashkent	Ms. Nadejda Gavrilenko, Project Manager, UNDP
12:00 – 13:00	Ministry of Construction, Housing and Communal Services Discussion of the project activities and outcomes, partnership with UNDP Project Team, recommendations for future projects	Abaya str., 6, Tashken t	Ms. Nadejda Gavrilenko, Project Manager, UNDP
14:00 – 16:00	Work with NAP project team	72, Bodomzor Yuli, passage 1, Tashkent	Ms. Nadejda Gavrilenko, Project Manager, UNDP
16:30 – 17:30	UNDP Country Office: Briefing meeting on the mission plan and expected outputs for the Lead of Environment and Climate Action Cluster and Programme Analyst on Climate Change *(all members of the mission)*	4, Taras Schevchenko str., Tashkent	Ms. Isroiljon Khasanov, UNDP Country Office

ANNEX V: DOCUMENTATION REVIEWED

Evaluation tools	Sources of information	
Documentation review	General documentation	• UNDP Strategic Plan 2021-2022 • UNDP Uzbekistan Country Programme Document • UNDAF for Uzbekistan • UN Uzbekistan Annual Reports • UNDP Programme and Operations Policies and Procedures • UNDP Handbook for Monitoring and Evaluating for Results
	Project documentation	• Project Document; • Minutes of Project Board meetings; • Annual Workplans; • Quality Assurance reports; • Day to day monitoring by the project team of activities implemented under grant mechanism and results achieved; • Reports prepared by project experts; • Interim narrative and financial reports submitted to donor; • Monitoring and Evaluation Matrix.
	Third-party reports	• Including those of research institutes, NGOs, international organizations, etc.

ANNEX VI: PROJECT'S RESULTS FRAMEWORK

OUTCOMES	BASELINE	INDICATORS	TARGET	ACTIVITIES AND RESULTS
1. The coordination mechanism for multi-sectoral adaptation planning and implementation at different levels is strengthened	Lack of steering committee to guide adaptation in country;	Yes/No (A participatory Inter-Agency Working Group established and is operational);	A participatory, inter-agency working group on adaptation set up;	• The structure of the group is agreed with the Ministry of Investment and Foreign Trade informs (as the NDA) on recommendation by Cabinet of the Ministries (letter №07-50-08241, August 17, 2022). The IAWG consists of representatives of 16 agencies and 12 representatives from three pilot regions. • Recommendations to enhance coordination role of Uzhydromet related to climate finance were developed. • A 2-day-training on climate finance coordination was held for national stakeholders. The training event was held on 12-13 July in Bostanlyk region (37 participants, 77% male, 23% - female).
	Lack of framework to govern climate change	Yes/No (Framework for adaptation drafted and validated);	Preparation of framework on adaptation to climate change initiated;	• Strategy on climate change until 2030 of the Republic of Uzbekistan has been drafted nationally (Uzhydromet) with support of UNDP (project team and consultants) with inclusion of the COP26 outcomes relevant to Uzbekistan. Draft Strategy is under consideration for adopting by the Government of Uzbekistan.
	No in-depth capacity assessment for CCA integration	# of staff (% female) trained for CCA integration	Capacities for adaptation planning in up to 10 institutions assessed, and staff trained	• 443 (27% female) of 10 institutions representatives (staff of central offices of sectoral ministries and departments) from the target 5 key sectors and 3 pilot regions learned on how to adapt to climate change impacts through adaptation planning through 20 capacity building trainings conducted in pilot regions, and in Tashkent by the contracted national company during August-November 2022.
1.2 Institutional barriers to the integration of climate change into development planning and policies are reviewed and key stakeholders are	No existing analysis of barriers to adaptation planning;	# of analysis of barriers conducted and # of recommendations validated at workshop;	Barriers analyzed and recommendations made to inform and initiate framework on adaptation;	• Institutional barriers in 5 key sectors identified, analyzed and recommendations on how to overcome them formulated. • An institutional barrier and capacity needs assessment for climate change in each of 3 provinces was conducted through 2 missions of the experts of the consortium of companies led by DEKONTA Company (Czech Republic), which has been contracted by UNDP for sectoral and regional adaptation plans preparation (1st mission

OUTCOMES	BASELINE	INDICATORS	TARGET	ACTIVITIES AND RESULTS
sensitized to climate change adaptation and development linkages				was held from 2 to 14 April 2023, 2nd mission from 23 April to 5 May 2023).
	Limited awareness	# of outreach and advocacy	Outreach and advocacy	• 109 (22% female) representatives of regional administrations in Karakalpakstan, Khorezm and Bukhara regions were introduced with NAP project's goals, objectives, and achieved results within workshops conducted in the target regions during March-August 2022. • 3 trainings on methods and approaches for economic assessment and prioritization of adaptation measures were conducted in three regions (in Khorezm region on February 14, in Nukus on February 16, and in Bukhara on February 21). • A sub-set of the IAWG to appraise CCA investments in particular including members from Uzhydromet, the Ministry of Economy and Finance, the Ministry of Investments, Industry and Trade and representatives of 5 key sectors was established.
1.3 Capacity for regularly monitoring, updating and reviewing adaptation actions is enhanced	Lack of climate specific project monitoring in country;	# of CCA indicators developed and integrated into national database;	Climate and gender sensitive indicators developed and integrated into national database.	• Climate and gender-sensitive indicators developed and submitted to the State Statistics Committee' consideration for inclusion into statistics database.
		# of persons (% female) trained to report and update the database;	30–40 persons trained to report and update the database.	• 40 persons trained to report and update the database (from Goskomstat & Uzhydromet and other involved national partners)
	Lack of information on effective adaptation practices	Yes/No (Best adaptation practices and lessons learned compiled and publicly accessible)	Best practices consolidated and made publicly available	• Effective adaptation practices for development of sectoral adaptation plans/strategies experienced by 40 countries were reviewed, and corresponding recommendations with considerations of Uzbekistan's economic and climate environment were formulated. Based on them, design and structure of NAP and stages of sectoral adaptation plan were developed.
2. The evidence base for adaptation planning is strengthened and adaptation prioritized into national and	Scattered information on climate information and adaptation	Yes/No (Gaps assessment report and Action Plan, including the one focused on health sector, are in place);	Existing information reviewed, compiled and complemented with additional assessment	• Consolidated Report on capacity gaps assessment, including data collection, analysis and derivation of respective recommendations developed, with focus on tackling the gaps in technical capacities of national stakeholders represented the

OUTCOMES	BASELINE	INDICATORS	TARGET	ACTIVITIES AND RESULTS
sectoral planning and budgeting				Inter-Agency Working Group related to climate change adaptation. • The results of the vulnerability assessment of the water resources and agriculture to climate change was summared and prepared relevant publication.
		Yes/No (Climate Vulnerability Assessment (gender sensitive) report on health sector is available)		• Vulnerability assessment of health sector to climate change conducted, with focus on impacts on various age and gender groups of population in Uzbekistan at the national and regional levels. Climate vulnerability assessments of water and agriculture sectors conducted.
2.2 System for economic analysis and appraisal of priority adaptation options is strengthened	Economic appraisals and analyses conducted on ad-hoc basis	# of stakeholders (% female) trained on appraisal of adaptation option using economic analysis of their unintended impacts	Economic analysis system strengthened to appraise adaptation options and stakeholders trained on their application	• 30 (37% female) national specialists from 8 departments of the Ministry of Water, Ministry of Agriculture, Ministry of Emergency Situations, Ministry of Construction, Ministry of Health, Uzhydromet, Ministry of Economy, MIFT trained in methods and approaches for economic assessment and prioritization of adaptation measures within trainings conducted in December 2022. • 3 trainings on methods and approaches for economic assessment and prioritization of adaptation measures were conducted in three regions (in Khorezm region on February 14, in Nukus on February 16, and in Bukhara on February 21). • A sub-set of the IAWG to appraise CCA investments in particular including members from Uzhydromet, the Ministry of Economy and Finance, the Ministry of Investments, Industry and Trade and representatives of 5 key sectors was established.
2.3 CCA priority interventions are integrated into national and sectoral planning and budgeting	Adaptation priorities not integrated into sectoral plans and budgets	Yes/No (CCA indicators aligned with national development priorities, NDC and SDGs)	CCA priorities integrated into sectoral plans and 'open budget'	• Draft sectoral adaptation plans for agriculture, water resources, healthcare and construction, emergency management was finalized by international company and validated by national partners. Regional adaptation plans are under validation of the national partners.
3. Adaptation financing and investment strategy for Uzbekistan is developed	Lack of financing strategy to support adaptation in medium- to long-term	Yes/No (NAP financing and investment strategy developed and validated)	Financing strategy developed, and additional sources of financing identified	• At the stage of finalization.

OUTCOMES	BASELINE	INDICATORS	TARGET	ACTIVITIES AND RESULTS
3.2 Private sector engagement in CCA is strengthened	Limited or no private sector engagement in adaptation	Yes/No (Strategy for private sector engagement in adaptation is in place)	Strategy to support private investments in place and consultations held	• Final report on PPP options to finance sectoral adaptation actions was prepared. • A report on inputs provided for formulation of recommendations on gender-focused options for private sector engagement into climate change adaptation was developed.

ANNEX VII: TE RATING SCALES

The table below shows the scale used to rate the various dimensions of this evaluation. This is the standard scale used in GEF-funded projects.

Scale Rating	Description
6 = Highly Satisfactory (HS)	There were no shortcomings; quality of implementation/execution exceeded expectations
5 = Satisfactory (S)	There were no or minor shortcomings; quality of implementation/execution met expectations.
4 = Moderately Satisfactory (MS)	There were some shortcomings; quality of implementation/execution more or less met expectations.
3 = Moderately Unsatisfactory (MU)	There were significant shortcomings; quality of implementation/execution was somewhat lower than expected
2 = Unsatisfactory (U)	There were major shortcomings; quality of implementation/execution was substantially lower than expected
1 = Highly Unsatisfactory (HU)	There were severe shortcomings in the quality of implementation/execution
Unable to Assess (UA)	The available information does not allow an assessment of the quality of implementation and execution

The table below shows the scale used to rate the various dimensions of the project's sustainability. This, as well, is the standard scale used in GEF-funded projects.

Ratings	Description
4	Likely (L) There are little or no risks to sustainability
3	Moderately Likely (ML) There are moderate risks to sustainability
2	Moderately Unlikely (MU) There are significant risks to sustainability
1	Unlikely (U) There are severe risks to sustainability
Unable to Assess	Unable to assess the expected incidence and magnitude of risks to sustainability

ANNEX VIII: SIGNED UNEG CODE

ANNEX IX: SIGNED TE REPORT CLEARANCE FORM

ANNEX XI: UNDP-GEF TE AUDIT TRAIL

ANNEX XII: MANAGEMENT RESPONSE