

CACILM: Multi-country Capacity Building project

PIMS Number: 3790 - CACILM CPP

**Short project title: Multi-country Capacity Building
Project**

Mid Term Evaluation

Report

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Table of Contents

Abbreviations	4
Executive Summary	5
Context and purpose of the evaluation	5
Main conclusions	6
Rating of achievements against objective and outcomes	8
Recommendations	9
Lessons learned	12
Introduction	13
Project background	13
Purpose of the Evaluation	13
Key issues to be addressed	14
The outputs of the evaluation and how they will be used.....	15
Methodology of the evaluation.....	15
Structure of the evaluation.....	16
The Project and its Development Context.....	18
Project start and its duration.....	19
Implementation status	19
Problems that the project seeks to address.....	19
Immediate and development objectives of the Project.....	20
Main stakeholders.....	20
Results expected	21
Analysis of outcomes, outputs and partnership strategy	21
Findings and conclusions.....	24
Project formulation.....	24
Project relevance.....	24
Implementation approach (R):	24
Analysis of the LFA:.....	25
Lessons from other relevant projects:	26
Country Ownership:.....	26
Stakeholder participation (R):.....	27
Replication approach:	27
Cost effectiveness:	27
UNDP comparative advantage:.....	28
Linkages between projects and other interventions in the sector	28
Management arrangements; (R).....	28
Project implementation	29
Financial management (R).....	29
Monitoring evaluation and reporting (R):.....	30
Management and coordination (R):	31
Identification and management of risks:	32
Gender:.....	34
Results	35

Attainment of outputs, outcomes and objectives:	35
Project impact:	42
Prospects for sustainability (R):	42
Gender issues:	43
Conclusions and recommendations.....	45
Findings.....	45
Corrective actions for the design, duration, implementation, monitoring and evaluation of the project.....	46
Actions to Strengthen or reinforce benefits from the project.....	48
Proposals for future directions underlining main objectives.....	48
Suggestions for strengthening ownership, management of potential risks	48
Lessons learned.....	49
Annex 1 Terms of Reference	50
Annex 2 Schedule of Meetings and Country visits.....	64
Annex 3 List of documents reviewed	67
Annex 4 Co financing	69
Annex 5 Rate Tables	70
Annex 6 Organization charts and diagrams.....	94

Abbreviations

ADB	Asian Development Bank
ACG	Advisory Consultation groups
BRC	Bratislava Regional Coordinating Office
CACILM	Central Asian Countries Initiative for Land Management
CAC	Central Asian Countries
CTA	Chief Technical Adviser
CMPF	CACILM Multi Country Framework
DEX	Direct Execution (now called Direct Implementation or DIM)
FAO	Food and Agriculture Organisation of the United Nations
FP	Focal Points
GIZ	German agency for International Cooperation GmbH
GM	Global Mechanism
GEF	Global Environment Facility
GoKR	Government of Kyrgyz Republic
GoKH	Government of Kazakhstan
GoTaj	Government of Tajikistan
GoTuk	Government of Turkmenistan
GoUz	Government of Uzbekistan
LFA	Logical Framework Analysis
MCB	Multi- Country Capacity Building Project
NRM	Natural Resource Management
NEX	National Execution (now National Implementation or NIM)
NGO	Non Government Organisation
PCB	Project Coordinating Board
PCR	Project Completion Report
PMU	Project Management Unit
PM	Project manager
PUA	Pasture Users Association\
SLM	Sustainable Land Management
SPA	Strategic Partnership for UNCCD implementation in CAC
MTE	Mid Term Evaluation
MoA	Ministry of Agriculture,
M&E	Monitoring and Evaluation
MSP	Medium-Size Project
UNDP-CO	UNDP Country Office
UNCCD	UN Convention to Combat Desertification
UNDP	United Nations Development Program
USSR	United States of Soviet Republics
WUE	Water Use Efficiency
WB	World Bank

Executive Summary

Brief description

The MCB project was intended to be an integrated Multi-country initiative within the CACILM CPP and is one of four related multi-country support projects under the CACILM Multi-country Framework Project (CMPF). It aims to contribute to overcoming the system, institutional, and individual capacity barriers and country barriers to SLM. It addresses the inconsistent and divergent policy environment, inadequate and inefficient resources to combat SLM, and gaps in human capital to develop SLM programs, and the disconnect between project level successes and policy making.

The project was intended to build on the structure created by the CMPF and to support the CACILM effort to catalyze efforts to reverse land degradation processes and improve sustainable livelihoods through a consolidated approach put in place by the five Central Asian Countries and Strategic Partnership Agreement members (UNDP, ADB, GTZ, GM, ICARDA, and FAO) with Global Environment Facility (GEF) support. It is to act towards the overall CMPF vision to enhance *“the restoration, maintenance, and enhancement of the productive functions of land in Central Asia leading to improved economic and social well-being of those who depend on these resources while preserving the ecological functions of these lands in the spirit of the UNCCD,”* The CACILM MCB project had the immediate objective to increase capacity at the national and cross-country levels to develop and implement an integrated approach and strategies to combat land degradation within operational National Programming framework.

Context and purpose of the evaluation

The MCB project was conceived as a preparatory capacity building activity for the inception phase of CACILM. In the event it was late in preparation and so starting and has become a capacity building activity for later stages of SLM, both as a multi country activity and in the 5 countries.

Soon after it commenced, ADB withdrew support for the CACILM structures through which MCB was to act, seriously weakening the capacity of the countries and MCB to achieve its objectives and targets

These events have placed more than normal strains on project management and coordination. The Regional Project manager’s contract, which expired early in the MTE field work, was not renewed as he was assessed as not being capable of addressing these strains. So, in addition to normal mid term evaluation, UNDCP requested the MTE provide some advice on what can be done to address the management weaknesses that it and its partners see as inhibiting progress at present.

The MTE is to play a critical role in the future implementation of the project by providing advice on: (i) how to strengthen the adaptive management and monitoring function of the project; (ii) how to ensure accountability for the achievement of the GEF objective1; (iii) how to enhance organizational and development learning; and (iv) how to enable more informed decision making.

It was also requested to address the question, *inter alia* “Is the project enhancing visibility and awareness of gender-related issues in improving capacities of Central Asian countries to address the LD issues in Central Asia?”

Main conclusions

The project started on the 1st of January 2010 and is to end on 31st December 2012. It was initiated with an inception workshop in March 2010 but due to delays in recruitment, procurement and developing agreed work plans and Logframes following the withdrawal of ADB support for the CACILM framework structure, it did not really begin work towards its planned outcomes until July 2010. The Regional Project Manager was not appointed until May 2010 so that we assess the project has suffered about 6 months delay during its first 20 months of operation.

With the help of GIZ, some parts of the former MSEC has survived and the same or somewhat similar NCC and NSEC structures have been re-established in each country according to the realities in each country although only Uzbekistan has retained the same structure. Some quite effective work was undertaken to develop more officially recognized Advisory Consultation Groups (ACG) but these were dropped after ADB withdrew support. This re-establishment of some structure in each country provides confidence the country ownership for CACILM that significant relevant stakeholders have expressed in each country is real and has a practical consequence for long term sustainability.

This support for the CACILM multi country framework was strongly reaffirmed to the MTE team by UNCCD focal points and/ or significant relevant officials in each country. The MTE understands this wish to see CACILM multi country framework continue has been expressed strongly to GEF who have invited further submissions from each country. This support comes from both the effort and cost that has gone into this CACILM framework over at least 10 years by each country and the increased relevance of an integrated approach to SLM in the light of apparently accelerating climate change.

This loss of ADB as a financial supporter and the failure to take account of an important lesson from CACILM 1, the necessity of taking time to define the roles and responsibilities of collaborating donors before the start, coupled with slower UNDP procedures operating in a regional mode, has placed much more strain on project implementation than might have been expected and it is essential to address this urgently.

There have been significant achievements against at least two of the planned outcomes but the project has not sufficiently refocused its efforts considering the absence of ADB

and the differences between countries. The result has been a concentration on completing short term target outputs. This is principally due to unresolved tensions between the wish to adapt to change on one hand and not to depart from the LogFrame in any but a superficial way on the other. This has been exacerbated by a weak monitoring, evaluation and reporting system. The MTE was not able to sight any of the intended tripartite reviews specified as 'monitoring responsibilities and events' in paragraph 213 of the Prodoc and most reports sighted were superficial.

These difficulties and possible conflicts of interest have acted to reduce strategic focus on the long term goal of building capacity for SLM. It is the clear wish of the focal points or key relevant stakeholders interviewed in each country that the remainder of the project be re focused on this strategic objective by;

- § Working towards being able to present and promote key CACILM achievements to stakeholders in each country and to donors and other possible collaborators (such innovative financiers of SLM and ecosystem services)
- § Assisting each country to review and establishing CACILM like structures nationally and internationally to enable the intended function of the previous structure, to improve sustainability of SLM
- § Presenting possible future directions for SLM to potential donors and each country.

These views are endorsed by the MTE team and we assess that this focus is consistent with the present outcomes in the Logframe with minor adjustments to the output targets.

The present regional project management arrangements are unsatisfactory and a new regional Project Manager or equivalent needs to be appointed who can command the respect of the donor partnership and key people in the 5 countries. This person should focus on completing the project and in providing a clearer strategic vision for the long term and in assisting in reporting achievements, wishes and ways to strengthen the CACILM ability to perform the functions of the former structure as desired in each country.

There are likely to be budget implications in holding an end of project conference or seminar but there is cautious possible support from one country to be a substantial host. to an international conference where these desired end of project objectives could be brought to fruition, to the benefit of long term SLM as intended under MCB.

Based on many comments made by two of the donor partners about each over the provision of inputs, procurement delays and possible conflicts of interest over a second phase, the donor partnership has suffered some strains. However each of these has expressed overall confidence to the MTE team in the other partner in the following terms and we assess the difficulties can be overcome; GIZ is a valued collaborator both technically and through its targeted flexible application of other material support, GM has implemented its clearly defined output without problems and UNDP provides useful support facilities and financial management in each country.

We conclude the most important reason the collaboration arrangements have not always worked well is because they have not been reduced to clear statements of duties etc, in spite of efforts to do so. This has led to misunderstandings and friction; exacerbated by a feeling the project lacks a long term vision in the new circumstances.

Gender issues: Neither the Prodoc or project reports contain any mention of Gender that the MTE team could find. The Annual Work Plans (AWP) mention gender in passing but the results are not reported on. We assess that the project is having some positive impact on awareness of the role women can play in SLM by example because of the relatively high proportion of women involved in CACILM when compared with middle and upper levels of Government(s) generally. It may be that problems of this nature are significant at lower levels but the MTE team had little exposure to this level apart from looking at some of the WOCAT documentation of best practices where the subject is little discussed.

Rating of achievements against objective and outcomes

Overall Project Objective: *Increased capacity at the national and cross-country levels to develop and implement an integrated approach and strategies to combat land degradation within operational National Programming Framework.*

There is no baseline against which to estimate achievement as intended in the Logframe but it is inherently difficult to attribute cause to effect where many inputs come from outside the system, particularly in a short term project. A partial solution to this issue of impact evaluation is to ask participants to undertake more post activity evaluations and to use the results in adaptive management. Based on the achievements under specific intended outcomes below and the management and coordination problems discussed above the MTE team assesses the achievement of the over all objective of the project as; *marginally unsatisfactory, somewhat effective, not very efficient and marginally likely to be sustainable*

It is quite urgent to address the management and coordination issues that are significant causes of this rating.

Outcome 1: Enhanced policy coherence through mainstreaming of SLM principles into national policies and legislation to promote synergies with other multilateral conservation agreements.

Based on interviews and observation of physical outputs, there have been some good achievements in all countries, notably in contributing to pasture and forestry law, and pasture and forestry use and policy, although reports do not always reflect this and this is not so for all output targets.

We rate the achievement against this outcome to be *marginally satisfactory, effective and some what efficient*

Outcome 2: Resources effectively mobilized to support SLM initiatives to promote synergies with other multilateral environmental agreements.

This is the most valued outcome in most countries because of its contribution of new concepts on how to mount a case to mobilize resources. This occurred across a range of ministries and agencies, including the budgeting and finance institutions in each country.

We rate the achievement against this outcome to be *satisfactory, effective and efficient*

Outcome 3: Improved inter-action between state agencies and land users through human resource development.

Some good work has gone on in most countries towards this outcome and it is really only possible to proceed as far as overall government policy permit in this direction. However stakeholders do not discuss this outcome clearly and there may be doubts about how far some countries can go in building links between land users and national level decision makers. There may be a need to achieve a better strategic focus on what is possible and desirable in each country. The MTE did not sight any communication strategies intended under this outcome although there was one draft strategy.

We assess achievement towards this outcome to be *marginally unsatisfactory, somewhat effective and marginally efficient*

Outcome 4 Learning, dissemination and replication of best practices in collaborative SLM developed and strengthened:

Outputs towards the achievement of this outcome are also often mentioned and valued in each country, notably the identification and communication of best practices. Not all output targets have been achieved based on reports but based on interviews some progress is also being achieved in establishing national training networks.

We assess achievement towards this outcome to be *satisfactory, effective and efficient*

Recommendations

We **recommend** the Project be extended for six months on a no cost basis to allow for the delays experienced, permitting it to continue to be the link between past CACILM activities and the future, and to enable a better focus on preparing a platform for renewed investment in SLM. GIZ has indicated they may have the resources for this subject to agreement on the negotiations discussed above and on the level of personnel required.

We **recommend** the project management and coordination arrangements be reconsidered and reconfigured to improve management and enable a better focus on sustainability of SLM through a CACILM like structure that performs the functions as intended under MCB, as follows;

- § That consideration be given to a regional modality such as that for the UNDP regional Climate Risk Management program managed out of a Bratislava hub in Almaty, as this would reduce one layer of management (the UNDP country office) and some reported complications over allocating budget between environment projects managed out of the same country office
- § That the work plans and budgets to be further detailed to remove ambiguity over the purpose of the budget items and include a procedure for deciding on variations that might be required that is acceptable to the partners
- § That the donors partners enter into a detailed MOU describing their respective duties, responsibilities and resource allocation and a dispute resolution procedure¹
- § That Project coordinators be given confidence to take more authority to act under the agreed work plans with supervision being provided *post factum* through monitoring by the RPM and other monitoring activities
- § That a replacement for the RPM is found urgently and through a process that does not require the extended UNDP normal recruiting delays. The MTE recommends that this person should be able to command the respect of donors and the UNCCD Focal Points of the 5 countries; this may be achievable by finding a replacement known to many Focal Points. If budget or other difficulties prevent this being a permanent appointment then consideration might be given to a permanent deputy manager recruited within Central Asia but who is also able to command respect, supported by a short term regular inputs by a senior specialist from outside the region who is familiar with the CACILM process, and also able to command respect as described above.

We **recommend** that the terms of reference of the Regional Project Manager (and deputy if this occurs) be redrawn to emphasize the more strategic aspects of the task as follows and to report to the Project Board in addition to UNDP;

- § To assist in enabling a good agreement between the collaborating donors to be negotiated and completed.
- § To revamp work plans including better definition of the use of budget towards project outcomes in each country under the operational control of the National Coordinators, and for regional activities under the operation control of the regional project manager (6)
- § To review the regional LFA, particularly the assumptions and indicators for usefulness and develop a methodology to link national AWP for national activities and targets to this regional LFA so cause and effect relationships are strategy are established for monitoring evaluation and reporting
- § To revamp the project monitoring evaluation and reporting system to make it more useful for adaptive management, risk management, gender issues and reporting to higher levels of authority, notably but not only by wider use of post activity evaluations by participants

¹ There are private sector mechanisms suitable to regulate the collaboration of organizations who normally compete, known as 'un incorporated joint ventures' these feature a management board with directors from each partner, a detailed definition of roles and resources etc, an appointed manager and a dispute resolution procedure with representatives of the partners being not involved in the project.

- § To facilitate an activity to review and enhance the NCC/NSEC equivalent structures in each country to make them more sustainable and useful for later stages of CACILM, as acceptable to focal points or relevant higher authorities in each country. As part of this to reassess the usefulness and official acceptance of the ACG's developed late in the CACILM 1 implementation phase.
- § To investigate a more durable institutional system for CACILM as a multi country activity, acceptable to UNCCD Focal Points or higher relevant authorities and likely donors. One such structure might be the IFAS; this has the 'in principle' support of significant stakeholders in each country. This institution has the advantage of being signed at Presidential level by each country and being an institution that has water policy and sustainable development objectives, both highly relevant to SLM and vice versa. It is recommended that any association with IFAS have a semi independent structure with separate funding lines.
- § To assist in focusing efforts to report concrete relevant outcomes and outputs to a significant conference or seminar in the last 6 months of the project extended period.
- § To assist in providing National Coordinators with strategic planning and team building approaches.
- § To assist in better defining the course of SLM for the future in each country and presenting these to potential donors in the last 6 months of the project This might include the development of concepts for the establishment of regional thematic centers in each country to improve long term national ownership of the CACILM multi country framework.

We **recommend** the above proposals for changes to the management arrangements, the changes to the TOR of the RPM and UNDP proposed solutions, be put to the Project Board within 3 months and that deficiencies in management arrangements be noted as a risk in the Risk and Issues logs in the ATLAS system. If a new acceptable regional project manager is not in place within 3 months, the board could suggest recommending the project be wound up.

We **recommend** GIZ be encouraged to continue the provision of highly valued technical assistance that it has been providing, including the regional CTA, and CTAs in each country as GIZ is able to arrange.

We recommend UNDP Country offices improve collaboration at the national level between the MCB National Coordinators and UNCCD Focal Points (FP) in order to strengthen coordination of project implementation. One possible solution is to include the UNCCD and GEF FPs into Capacity Building Units if they are agreeable.

We **recommend** that MCB request the SPA partners ADB and ICARDA to clarify arrangements under which the countries can obtain access to products developed under CACILM and ongoing best practice in the interests of improving the capacity of these countries to promote SLM of a multi country basis.

Lessons learned

Probably the key lesson learned, is actually relearned following CACILM 1, the great importance of carefully negotiating collaboration agreements between donors before the event.

Another lesson is that it is important to have clear lines of authority so middle management knows what is expected of them at all times.

There are also lessons, discussed in the report, which UNDP might consider to improve performance in recruitment, procurement and other approval processes, particularly for regional projects.

There may also be benefits in rotating UNDP MCB support staff between Central Asian UNDP offices to improve communication between the states (as CACILM is intended to do)

Introduction

This Mid Term Evaluation (MTE) has been commissioned as part of the normal UNDP–GEF adaptive management requirement and was commissioned through a public tender process advertised by UNDP in Bishkek in June 2011. It is to provide managers (at the Project Implementation Unit, UNDP Bratislava Regional Center, UNDP Kyrgyzstan Country Office and UNDP-GEF levels) with strategy and policy options for more effectively and efficiently achieving the project's expected results and for replicating the results. It also provides the basis for learning and accountability for managers and stakeholders. While it assesses the project as a whole with reference to the individual countries, the UNDP Bishkek office requested it pay particular attention to the regional project management aspects because of some difficulties that have been experienced in this area.

Project background

The project can be seen as a constituent part of a process to focus investment and effort towards combating land degradation, which may have its beginning with the ratification by each country of the UNCCD convention on Desertification over the 1996-7 period. Another key point in this process was the signing of the Tashkent platform in 2003 which began the process of donor collaboration of this issue. Another key point was the approval and inception of the Multi-country Initiative for Land Management Framework Project (CMPF) in 2007.

This Multi Country Capacity Building (MCB) Project is one of four related multi-country support projects under the CACILM. It is to contribute the system, institutional, and individual capacities needed to respond to country barriers in terms of an inconsistent and divergent policy environment, inadequate and inefficient resources to combat SLM, gaps in human capital to develop SLM programs, and a disconnect between project level successes and policy making.

The project was intended to build on the structure created by the CMPF and to support the CACILM effort to catalyze efforts to reverse land degradation processes and improve sustainable livelihoods through a consolidated approach put in place by the five Central Asian Countries and Strategic Partnership Agreement members (UNDP, ADB, GTZ, GM, ICARDA, and FAO) with Global Environment Facility (GEF) support.

Purpose of the Evaluation

The Mid Term Evaluation (MTE) is to play a critical role in the future implementation of the project by providing advice on: (i) how to strengthen the adaptive management and monitoring function of the project; (ii) how to ensure accountability for the achievement of the GEF objective; (iii) how to enhance organizational and development learning; and (iv) how to enable more informed decision making.

The MTE is to rate certain aspects of the project with particular emphasis on the likelihood of achieving the objective and outcomes in the agreed timeframe, taking into consideration the progress to date.

The purposes of the MTE are:

- (i) To assess overall performance against the project objective and outcomes as set out in the Project Document, project's Strategic Results Framework and GEF Increment, and other related documents²;
- (ii) To assess the effectiveness and efficiency of the project;
- (iii) To analyze critically the implementation and management arrangements of the project;
- (iv) To assess the progress to date towards achievement of the outcomes;
- (v) To recommend the project in improving/updating its outcomes indicators;
- (vi) To review planned strategies and plans for achieving the overall objective of the project within the timeframe;
- (vii) To assess the sustainability of the project's interventions;
- (viii) To list and document initial lessons concerning project design, implementation and managements;
- (ix) To assess project relevance to national priorities (including achieving gender equality goals);
- (x) To provide guidance for the future project activities and, if necessary, for the implementation and management arrangements and actions that might be taken to improve the project;

In particular the MTE will assess progress in establishing the information baseline, reducing threats, and identifying any difficulties in project implementation and their causes, and recommend corrective course of action.

Key issues to be addressed

At the inception phase of this MTE the team was asked to place particular attention to the regional project management arrangements in the view of difficulties being experienced in this area. The significance of this was underlined by UNDP's decision not to renew the contract of the Regional Project Manager, effective as of 30th August 2011 that is, shortly after the commencement of the MTE.

Another particular issue that emerged very early in the inception phase was the impact of the withdrawal of ADB support early in the MCB implementation phase and the possible adequacy of the project responses made to this event. Although the project made some revision of its Logframe at inception to reflect this change, the MTE needs to assess how this event may be continuing to impact on implementation of the MCB.

In respect to both of these issues the requirement under the TOR to *identify effective action to rectify any identified issues hindering implementation is to be a requirement prior to determining whether implementation should proceed*, assumes particular importance.

The TOR also specified that *the MTE is to also include gender criteria;*

- § *Are women and men involved into project activity equally?*
- § *Is the project maintaining a positive gender equality situation in capacity building to address major LD issues?*
- § *Is the project enhancing visibility and awareness of gender-related issues in improving capacities of Central Asian countries to address the LD issues?*

² Such as the UNDP KGZ Country Gender Mainstreaming Strategy

§ *Will the project benefit to women and men equally?*

This inclusion was in response to a UNDP program wide evaluation and not necessarily a particular issue for MCB.

The outputs of the evaluation and how they will be used

The MTE is intended to identify potential project design problems, assess progress towards the achievement of objectives, identify and document lessons learned (including lessons that might improve design and implementation of other UNDP/GEF projects), and to make recommendations regarding specific actions that might be taken to improve the project. It is expected to serve as a mean of validating or filling the gaps in the initial assessment of relevance, effectiveness and efficiency obtained from monitoring. The mid-term evaluation provides the opportunity to assess early signs of project success or failure and prompt necessary adjustments.

The core product of the MTE is this Evaluation Report; it documents the strengths and weaknesses in the project's design, strategy and implementation. It is intended to play a critical role in the future implementation of the project by providing advice on:

- (i) How to strengthen the adaptive management and monitoring function of the project;
- (ii) How to ensure accountability for the achievement of the GEF *Objective*;
- (iii) How to enhance organizational and development learning, and;
- (iv) How to enable informed decision-making.

Methodology of the evaluation

The MTE provides evidence-based information that is credible, reliable and useful. Some findings have been discussed with project partners and are applicable to the remaining period. The MTE was carried out in line with GEF principles on:

- Independence
- Impartiality
- Transparency
- Disclosure
- Ethical
- Partnership
- Competencies and Capacities
- Credibility
- Utility

The general approach was to triangulate the results of the document review, interviews with different classes of stakeholder and observations of physical outputs to build a reliable picture of the present situation for the purposes of rating achievements. This

builds understanding and also provided opportunities to communicate some preliminary findings from some stakeholders to others as an aid to adaptive management.

The MTE was carried out by two External Evaluators, independent from both the policy-making process and the delivery and management of assistance. The TOR for the evaluation is provided in Annex 1.

The MTE consisted of 3 days desktop study of available project documentation, about 3 days in each country consisting of, interviews, and meetings etc, 6 days drafting the report and 2 days to incorporate corrections, comments and suggestions giving a total 30 person days of international consulting time. The MTE plan provided by UNDP did not allow for traveling time or national holidays as might have been expected and this reduced the time available for interviews.

The following analysis constitutes the MTE's understanding of the project. It is based upon the history of the project cycle as it is represented in the project documentation and interviews with the various stakeholders.

The MTE has reviewed the project's performance over the first half of its lifetime. It has considered what has been the impact of the project and how has it contributed to the GEF *Objectives*. The MTE has:

- Assessed the effectiveness of the individual *outputs* (monitoring performance);
- Assessed the effectiveness of the various outputs in achieving the *Outcome* (monitoring the impact), and;
- Assessed the effectiveness of the four *Outcomes* on achieving the *Objective* (monitoring the change).

The analysis of this has allowed the MTE to comment on the:

- Implementation – has the project done what it planned to do (i.e. is the plan still untested because the implementation was poor);
- Effectiveness – has the plan met the predicted objectives by this time (i.e. has the plan been tested and found to have flaws), and;
- Validation of the model's parameters and relationships (i.e. which assumptions, variables and interactions were correct).

Based upon this the MTE has made justified³ statements about the projects progress towards anticipated results and the *GEF Objective*.

Structure of the evaluation

The TOR provides a scope for the evaluation including assessments of achievements, a list of deliverables and a suggested table of contents. The table of contents and matters rated for success adopted in our report varies slightly from that suggested to allow for

³ Justified by evidence or reasonable argument

some differences between the ratings indicated in the suggested structure of the report and the evaluation scope. Also, consistent with the advice received to focus on the regional management arrangements and because of time limitations, our evaluation of achievements under each output in each country are quite broad and based on interviewee opinion, and observations of some physical deliverable, rather than a detailed assessment of individual target outputs.

The evaluation has three main phases, which because of the limitations due to the travel plan and schedule as discussed above, had to some extent to be undertaken in parallel;

- § 1. A review of documents and reports, the output of this has been incorporated directly into the MTE report without being formally documented
- § 2. Interviews of key stakeholders as identified by UNDP and discussed at inception; rough notes of these have been made for use in analysis, and these are available if required to justify any particular finding, conclusions or recommendations. The results of these are used as discussed above under methodology.
- § 3. Analysis for the purpose of generating the rating table (annex 4); this took the form of comparing AWP's and Project reports, augmented by observations where reports were inadequate, these observations are noted in the supporting tables for the main rating table, also appearing in Annex 4. This process of analysis included compiling some diagrams to describe institutional and organizational issues or ideas discussed with key stakeholders. Selected examples of these are also appended (Annex 6) and were presented at the final briefing at presentation of the draft report. Included in the analysis stage were briefings at the end of each national visit and prior to the delivery of the draft MTE report.

The Project and its Development Context

Evaluation is part of adaptive management. An important part of evaluation is an understanding of the context within which the project is taking place.

A common experience of countries in Central and North Asia of the period of the command economy was one of over exploitation of natural resources in the search for increased production. This is commonly agreed to have resulted in widespread land degradation and these trends have continued in the post soviet period although with different characteristics as some land has been abandoned and maintenance of some infrastructure such as collectors has deteriorated or ceased.

According to FAO estimates, over 13 % of the region was degraded between 1981 and 2003 (measured as a loss of net primary productivity –NPP- adjusted for changes in climate), affecting 6 percent of the regional population. Negative environmental impacts have worsened, including the drying up of the Aral Sea (except in Kazakhstan, where some restoration has occurred), water and air pollution caused by salinization, water and wind erosion of soils, loss of biodiversity, and reduced provision of ecosystem services in desert, mountain, wetland and riparian ecosystems.

The principal land degradation problems are described in the National Programming Frameworks (NPFs)⁴ which evolved from the National Action Plans. The nature of these problems and their causes are numerous and complex, and vary across the region. Each country has identified capacity gaps through the National Capacity Self Assessment process. These sources identify a common low national capacity, ineffective policy environment, low levels of public investment, and the need to develop decision-making frameworks based on lessons learned from field-level projects and investments need to develop increased national capacity to deal better with a variety of institutional, policy and other barriers to sustainable land management that limit an effective response to land degradation.

Subsequent actions by national governments with the support of GEF and bi-lateral and multi-lateral development cooperation organizations have led to the development of national structures in the form of National Coordination Councils and National Secretariats and frameworks, such as the National Programming Framework as a part of Central Asian Countries Initiative for Land Management (CACILM).

Early in the MTE period it became apparent that this CACILM structure has been weakened since the initiation of this project by the withdrawal of ADB support for this structure. However the enabling decrees that established the National Coordination Councils (NCC) s have not been rescinded and work continues in many countries through ad hoc structures to undertake the previously agreed duties under CACILM. The Multi-country CACILM secretariat (MSEC) still operates to some extent, particularly in the Knowledge Management and Research projects. National in kind support continues

⁴ National Programming Frameworks are follow-on frameworks to operationalize the UNCCD-National Action Plans. These are available from the CACILM Knowledge Network, accessible at <http://www.adb.org/projects/CACILM/>

through each country and the agreed inputs by other partners, notable UNDP, GIZ and Global Mechanism (GM) has also continued and in some cases has increased to fill some of the gap created by ADB's withdrawal. This project, to a substantial extent, now provides the regional multi-country platform for CACILM that had been provided by the MSEC. The success or failure of MCB will thus have a very significant impact on the continued support of the national countries and the Strategic Partnership for UNCCD implementation in CAC (SPA), for the CACILM structure.

Some SPA partners and GEF recently reaffirmed their support for this structure as a result of presentations by national participants as side event in a recent meeting in Berne.

This reduced investment and capacity has never-the-less introduced a significant new medium term risk for CACILM and is an important context for this MTE not anticipated in the Project document or in the TOR. Hence this event has been discussed partly under the formulation section of this report to assist in describing the context under which the project has operated almost since the inception phase.

Project start and its duration

The project effectively began in March 2010 with the inception workshop although preparatory activities began in January 2010 and is to end in December 2012, a 3 year period.

Interviews indicate these delays in recruitment, some procurement and the development and approval of work plans allowing for the withdrawal of ADB funding meant that effective work directed at the project outcomes did not really begin until July 2010, a delay of 6 months.

Implementation status

At the point of this MTE the project is in its second year of implementation, about 15 months remains to achieve its targeted outcomes

Problems that the project seeks to address

The principal land degradation problems are described in the National Programming Frameworks (NPFs)⁵ for the CACs as: (i) erosion, salinization, and water logging in irrigated agriculture; (ii) deteriorating fertility of pastureland; (iii) nutrient depletion vis decrease in fertility of the arable dry-lands of the steppes; (iv) decreased area and productivity of forests; (v) exacerbated risks from landslides and flooding due to poor watershed management; (vi) reduced stability and functioning of desert, mountain, wetland, and riparian ecosystems, (vii) terrain deformation (gully and shifting sands), and (viii) loss of plant cover and soil organic matter. In addition, faulty land and water-use

⁵ National Programming Frameworks are follow-on frameworks to operationalize the UNCCD-National Action Plans. These are available at Available from CACILM Knowledge Network, accessible at <http://www.adb.org/projects/CACILM/>

decisions can have additional and enormous negative implications through changes in the regional and global hydrological cycles. In addition to these, the NPFs also list industrial concerns in the form of (ix) on-site and off-site impacts of mining operations; and (x) contaminated sites from resource extraction and nuclear testing operations. The nature of these problems and their causes are numerous and complex, and vary across the region.

The problem to be addressed by this project is the low level of capacity at the system and institutional levels that if not addressed will limit the overall response to land degradation processes by the CACILM mechanisms. This project is one of 4 complementary multi-country projects within the CACILM platform that are oriented towards building these capacities. Other projects Research, Knowledge Management, and Information Systems were actively developing tools and mechanisms to support decision-making by the NCCs and other national authorities. This project is to address the system, institutional, and individual capacities that will enable the use of those tools and address the legal, institutional, financial, and human capacity challenges, so that the CACILM structure will be able to reverse the situation described above through (i) an enhanced enabling environment that will address the incomplete and divergent policy framework that limits actions and financing towards sustainable land management and (ii) non-integrated practices of land use planning and management in the form of low levels of connectivity between stakeholders, low levels of involvement in the land planning process, and limits to up-scaling and replication of positive experiences.

Immediate and development objectives of the Project

The immediate development objective of this project is to *increase capacity at the national and cross country levels to develop and implement an integrated approach and strategies to combat land degradation within National Programming Framework*. (From the narrative summary of the prodoc). A key assumption here is the existence of approved NPFs and (elsewhere in the narrative summary) the CACILM structure and its 4 supporting regional projects through which capacity building is to occur.

Main stakeholders

The main stakeholders are those identified in the CACILM Framework document and each National Project Framework document. These have been summarised in the MCB Prodoc and include a very wide range of stakeholders at all levels from the Multicountry and donor level through national and local area official structures related to the broad area of Natural Resource Management (NRM), and civil society and land pasture and water users. The extended project preparation process of both the main CACILM framework project and the MCB featured consultation and input from representatives of all of these groups over the period 2005 to 2009.

Of significance to this MTE is that this wide consultation and preparation has been both, important to project formulation, and has created quite wide expectation in each country that MCB needs to deal with in its role as a link to further stages in the CACILM process.

Results expected

The results expected of MCB include (a) increased policy coherence; (b) resources effectively mobilized for SLM; (c) improved interaction between state agencies and land users through increased human resources; and (d) developed and strengthened learning, dissemination, and replication of best practices in collaborative SLM.

These results can be seen as part of a continuum of results expected under the main CACILM framework over its intended 10 year operation and beyond. They are not discrete outputs that can be easily measured and monitored and success essentially builds on other achievements under CACILM and wider investments directed towards SLM, as articulated in each NPF. This is to achieve the desired cohesion towards SLM and to share the widest range of experience with the widest range of stakeholders.

Importantly the narrative summary in the MCB Prodoc goes on to say: “Without this component project, the established multi-country and national support structures will not have the capacity for effective policy-making, planning, and financing SLM initiatives that will meet future challenges and changing land-use scenarios with new global challenges, such as the effects of global warming on agriculture and food systems”.

This summary provides some guidance as to how the MCB might respond to the failure of some assumptions in the design noted above, particularly regarding the existence of approved NPFs and their enabling CACILM structure as discussed below.

Analysis of outcomes, outputs and partnership strategy

Project outcomes and outputs

These are well described in the Project Logframe and associated narratives as summarized below.

*The **goal** is the restoration, maintenance, and enhancement of the productive functions of land in Central Asia leading to improved economic and social well-being of those who depend on these resources while preserving the ecological functions of these lands in the spirit of the UNCCD. The **objective** is to increase capacity at the national and cross-country levels to develop and implement an integrated approach and strategies to combat land degradation within operational National Programming Framework.*

This is to be achieved through four primary outcomes with associated outputs:

Outcome 1: Enhanced policy coherence through mainstreaming of SLM principles into national policies and legislation to promote synergies with other multilateral conservation agreements.

The four outputs intended to increase policy coherence are

Output 1.1: A strengthened inter-governmental structure to support SLM
Output 1.2: Fortified CACILM national-level structures and mechanism to support policy development and mainstreaming.
Output 1.3: Approved strategy for enabling policy, legislative, and incentive structures to mainstream SLM and operationalize innovative financing:
Output 1.4: Awareness of decision-makers of SLM goals, objectives and principles increased to facilitate mainstreaming of policies:.

Outcome 2: Resources effectively mobilized to support SLM initiatives to promote synergies with other multilateral environmental agreements.

The four outputs intended to improve the mobilization of resources for SLM are.

Output 2.1 – Five national multi-stakeholder working groups are established replete with knowledge, skills, and tools for developing IFSs
Output 2.2 – Five Integrated Financing Strategies drafted and endorsed by national stakeholders
Output 2.3: Five SLM Investment Programs Developed:
Output 2.4: Five National Integrated Financing Strategies approved for implementation

Outcome 3: Improved inter-action between state agencies and land users through human resource development.

The three outputs intended to improve interaction between state agencies and land users through increased human resources are

Output 3.1: A national-level, long-term SLM Capacity Building Program approved by NCC.
Output 3.2: Approved Mechanisms for enhanced communication and coordination between state agencies and land users.
Output 3.3: Modular training programmes designed and successfully implemented for professionals in state organisations and NGO to practise a collaborative approach in SLM.

Outcome 4 Learning, dissemination and replication of best practices in collaborative SLM developed and strengthened:

The outputs intended to develop and strengthen learning, dissemination and replication of best practices in collaborative SLM are:

Output 4.1: National Learning Networks on best practices in collaborative SLM established and functioning.
Output 4.2 Learning and dissemination of best practices in SLM enhanced and strengthened among all relevant stakeholders.

Output 4.3: Effective system of up scaling and replication of good practices in collaborative SLM on national and regional level established and functional.

The partnership strategy(s)

The partnership arrangements anticipated were to operate at several levels and not all clearly described in the Prodoc.

Partnership strategies at the multi country and international level including;

- § The CACILM structure with its Strategic Partnership Agreement (SPA) partners
- § A Partnership between three donors UNDP, GIZ and GM supporting MCB, being implemented under UNDP direct implementation (DIM) rules, without involving national Governments.

Partnership strategies at the national level involving

- § Somewhat different donor /national country partnerships that operate for some projects contributing ideas and participating in MCB capacity building events, including UNDP country offices in each state.
- § Formal and ad hoc partnerships between agencies concerned with SLM, intended to be facilitated by national coordinating councils (NCC) assisted by National secretariats (NSEC)
- § National focal points for UNCCD and GEF.
- § Formal and ad hoc partnerships between national and field level stakeholders as is possible in each country
- § Formal and ad hoc partnerships between these above partnerships and civil society, concerned NGOs and key stakeholders, often involved in MCB or UNCCD working groups

A clear, but mostly implicit, assumption in MCB was that the coordination of all these partnerships would be supported by the main CACILM Framework Project.

Findings and conclusions

In this section we discuss each part of the project and rate the sections, marked (R) below from the TOR, using the following divisions: Highly Satisfactory, Satisfactory, Marginally Satisfactory, Marginally Unsatisfactory, Unsatisfactory, Highly Unsatisfactory. The ratings, unless otherwise stated, result from at least three forms of evidence, usually a combination of two interviews and documents or observation of physical outputs. Where the justification is unusually strong, or weak this is stated. The ratings are tabulated in Annex 4

Project formulation

In this section we assess formulation with some reference to experience related to the withdrawal of ADB support; this is to assist drawing lessons from experience later in the report under .implementation

Project relevance

The relevance of this project to the policies and needs of each country, and the region have been well described in all CACILM Prodocs and have been regularly affirmed by key stake holders throughout the CACILM preparation process, and ever since 1997 with the ratification by each country of the UNCCD conventions.

The relevance of the Project to the urgent need to address land degradation in this broad way is not in any doubt and has only become more relevant with the realization that Climate variation is becoming a more important determinant of the potential for SLM in the region.

Implementation approach (R):

The implementation approach of working through the established CACILM structure is assessed as being appropriate but the withdrawal of ADB has meant the assumption that this structure would remain intact and that each country would be willing to work through it has not been valid in 4 out of 5 countries. However substitute arrangements of various forms have been made in the other countries and these operate with varying degrees of success in each country, as discussed in detail under implementation below.

Interviews indicate that while there is still country ownership for the CACILM framework this varies between countries and there is some perception that its structure needs further consideration to provide it with better stability and, in some countries to improve its ability to mainstream SLM into their economies.

We rate this aspect of the project as formulated to be *satisfactory*

Analysis of the LFA:

In the context of an existing CACILM structure this Logframe had some weaknesses due to be either overambitious in some areas, or having some unrealistic indicators. These shortcomings are collected together with other considerations below due to the withdrawal of ADB support. This is for simplicity sake.

The Logframe as presented in the Prodoc is no longer a very satisfactory basis for these reasons, (the updated Logframe generated in the inception phase only partly overcomes the factors noted below);

Some of the assumptions have proven invalid or are only partially valid; the key assumption underlying the project design relates to commitment and capacity on the part of key stakeholders to continue to work towards SLM in a collaborative way both within concerned agencies in each country and between nations. These assumptions and comments are.

- § *Continued political commitment of the governments to collaborate in combating land degradation*; this is still a key assumption but assumes different dimensions in each country. Significant political changes have occurred in the Kyrgyz republic and the forthcoming presidential election may bring further change. The Kyrgyz MCB team has established a committee with concerned parliamentarians and this indicates and facilitates commitment to SLM as this situation unfolds. General commitment to address land degradation is still evident from interviews with UNCCD focal points and other national participants, although the weakened CACILM structure (see below) leaves some doubt as to how this commitment can or will be expressed in the future.
- § *All countries are willing to continue to work within the CACILM structure*; the withdrawal of support by ADB for the CACILM structure has put this assumption under very significant stress. The MSEC structure remains on paper but only the Knowledge Management component receives consistent support (from GIZ). Some research activities are reported to have been continued although communication of results is little reported and we were not able to interview ICARDA. The valued IS component no longer receives any support and access seems to have been denied by ADB, at least on a multi country basis, even though the ADB Project completion Report (PCR) indicates that they intended this should continue. 3 countries commented on their wish for this to continue, while only one indicated that still had access to this information, although only on a national basis. We were not able to obtain any ADB view on these statements.
- § *No large scale change (withdrawals) in NCC membership during the 3 years*; Following the withdrawal of ADB support only one country has been able to retain its NCC structure although in most cases a significant number of former NCC members have remained associated with the national structure in each country, sometimes as parts of the UNCCD working groups. Some apparently effective work was undertaken late in the CACILM 1 phase to develop Advisory Consultation Groups (ACG) with good representation and better official

recognition than the previous NCCs. These were discontinued for some reason that is not clear to the MTE team, or any interviewees asked.

The situation with regard to support, liaison and capacity to implement activities varies significantly between countries. Only one country has retained the NSEC structure while the others have developed a range of mechanisms to substitute for the NCC function, often via the UNCCD working groups. In one case this system is no longer in close communication with the main line of agrarian reform. In two others the structure works more or less as intended, even though it has not been formally included in the Government system and may not be sustainable, while in the other it is somewhat attenuated in capacity but is at least official. This assumption remains very significant for capacity building in the remainder of the project and needs reconsideration for a possible second phase. Ideas for this are presented below under recommendations.

Some of the specific indicators are either not measurable or are no longer possible;

- § There is no baseline of awareness at the start of the project against which a score card assessment could be made. There may be innovative methods of addressing this deficiency if some relevant data set from 2009 can be obtained but there will still be problems attributing changes at the outcome level to project interventions.
- § Some outcomes may simply have been unrealistic at the outset, for example there may not be any new commitment of funding to SLM within the project period since its concepts for investment are not due until the end. However this may still be a valid outcome objective for CACILM 2, and so if success is achieved in the next phase, this may be due to inputs during this project. The indicator is probably unrealistic for achievement by the end of 2012.

Lessons from other relevant projects:

The project has drawn some lessons from other projects as assessed in the original CACILM framework preparation although these are not discussed in the MCB Prodoc and it is unclear if other specific lessons from large capacity building projects have been taken into account, but there is no particular discussion on this in the Prodoc either.

It is commonly accepted in development practice that changes in project design ought to be allowed in inception if circumstances change. This is a lesson that has evidently not been acted on sufficiently after ADB withdrew support, based on interviews.

One lesson learned in the inception phase of CACILM is that it is highly desirable to clarify arrangements between donor partners where co implementation is to occur. This lesson has not been taken into the design of this project, see below under management arrangements.

Country Ownership:

Country ownership of the CACILM framework, including its MCB is clearly expressed in the ratification of the Framework by each country and was reaffirmed specifically for

the MCB during the multi country inception workshop design workshop in May 2008. This design process also included country level consultations and the MCB has been endorsed by the focal points of both GEF and UNCCD.

The reaction of the 5 countries to the withdrawal of ADB support for the CACILM structure by adapting the existing structures or people or establishing new ad-hoc arrangements to undertake the duties anticipated under CACILM through MCB is a further indication of ownership, affirmed by focal points and other relevant stakeholders during this MTE.

Stakeholder participation (R):

The design process included significant input from relevant stakeholders, including the CACILM structure, relevant ministries and government agencies and civil society, as detailed in the Prodoc.

However there is not much evidence that these have been prioritized for attention during implementation although stakeholder engagement has occurred in an incidental way.

We rate this aspect of formulation as *satisfactory*

Replication approach:

The replication approach is implicit in the overall objective of building capacity for SLM, specifically through the ongoing CACILM system.

With the withdrawal of ADB and the subsequent reduction in effectiveness of the substitute arrangements this approach needs reassessment, even in the country where the NSEC remains intact. Interviews in each country indicate a wish for better overall strategic guidance to focus activities. This particularly relates to;

- § being able to show concrete outcomes for national and donor audiences by the project end,
- § the wish to refine their SLM structures to achieve better sustainability of SLM capacity, and
- § to assisting in mobilizing more investment.

Recommendations to achieve this are discussed below under corrective actions.

Cost effectiveness:

Cost effectiveness is a relative term and potentially a broad one and what follows discusses this from both sides.

Factors that improved costs effectiveness; most brought about by the role of the project in mobilizing and multiplying efforts that otherwise occur in relative isolation or not at all;

- § The project seeks to leverage the activities of other projects and national experience of each country for other countries in ways that are much less possible without mechanisms like CACILM as strengthened by the MCB,
- § The project seeks to make connections between agencies and between agencies and communities related to SLM, that have hitherto not operated in an integrated way appropriate for SLM
- § The project also mobilizes civil society, NGOs and land pasture and water users in ways that are also mobilized by other projects, but arguably to a lesser extent
- § Many of the national counterparts whose support from ADB was cut off continued to work for the idea of CACILM without additional income because of commitment to the concept.

Factors that reduced effectiveness;

- § the project has suffered considerable delays (an average of about 6 months across countries) and this will have reduced cost effectiveness from a theoretical maximum by 20% by the time activities began. This is substantially due to slowness in contracting staff and some procurement, exacerbated by the complexity of the management arrangements.
- § The project continues to lose cost effectiveness because of delays in procurement, recruitment and gaining project approvals, for substantial the same reasons

Some suggestions for improvement have been made below under corrective action.

UNDP comparative advantage:

The MCB requires a substantial amount of liaison with Government for travel, workshops, interagency liaison and lobbying over policy issues. UNDP's official establishment in each country and its focus on governance and policy provides some comparative advantages over less official or bilateral representation.

Linkages between projects and other interventions in the sector

The connections with other projects forged in the first phase of CACILM have remained more or less intact. Communications with ADB funded projects continues to some extent in some countries. The effectiveness of this varies between countries depending on the substitute arrangements for the former NCC/NSEC arrangements, where these have changed. These connections have been deepened though the communication of best practices and shared experiences achieved under Outcome 3 and 4.

Management arrangements; (R)

The project management arrangements were intended to follow the CACILM model with different donors either supporting different outcomes or collaborating in other outcomes. This has proved to be more satisfactory where there has been a clear demarcation of outcomes, for example where GM has been assigned virtually sole responsibility for

Outcome 2, the Integrated Finance Strategy (IFS). It has been less satisfactory with other outputs requiring cooperation between donor partners. As noted above, this is a lesson from the first phase of CACILM that has not been acted on, see also below under Management and Coordination. There is evidence that GIZ and UNDP tried to negotiate a MOU but this was not completed.

A further formulation shortcoming was to plan a management system with confusing lines of responsibility with national project coordinators being responsible to the Regional project manager for some activities, to the UNDP country office for other activities and donor partners for some other activities, this being in addition to national chains of authority from various ministries and agencies depending on the activity. The consequences and impact of these arrangements are discussed below under project implementation with solutions being suggested under corrective action below. A comparison of the organization arrangements existing for MCB and those for another UNDP regional program (the RCCM program) appears in Annex 6.

We rate this aspect of formulation as *marginally unsatisfactory, not effective, not efficient* and requiring urgent attention.

Project implementation

Financial management (R)

Financial management of the UNDP and GM aspects of the project are managed by UNDP, there are some implied reporting requirements of UNDP for GIZ inputs but GIZ manages its own finances. The Atlas accounting system makes it relatively difficult (but not impossible) to account for and supervise two cost centers through the one UNDP office. The MTE team for example found it difficult to assess how travel funds had been used by referring to Atlas records. This is significant in Kyrgyz, as the regional and national parts of this project are managed through the Kyrgyz country office, acting as both principle and national office. According to interviews in all 5 countries this is a source of extra work and some difficulties monitoring for cost control and the appropriate allocation of funds against budget and plans as discussed below.

In at least two countries UNDP has been centralizing support facilities in the UNDP country offices for multiple projects in the interests of efficiency and delivery. In at least one country there is strong evidence that this has been at the expense of effectiveness in the form of country ownership and technology transfer. Interviews also suggest that some expenditure decisions in some country offices lack focus on the intended outputs as listed in the AWP and associated budgets. There are for example several accounts of requests for travel not contemplated under the AWP or Logframe, but which are related to the needs of other UNDP projects in related areas. The mission has evidence supporting some of these assertions.

Interview records also show that some responsible UNDP country offices confuse different projects when discussing achievements indicating a lack of distinction between

projects. On the other hand the mission can see that implementing related environmental projects in a more integrated way may improve effectiveness in a project designed to facilitate communications between sectors.

In any case, these reports of marginal conflicts of interest between national UNDP office objectives for their environmental projects, including MCB and the regional objectives of the MCB are consistent and so a subject of concern and stress for National Coordinators.

There are also many reports of bureaucratic delays gaining approval for expenditure from the RPM, at the expense of efficiency and effectiveness. Examination of the Logframes and AWP suggests some vagueness in description that invites disagreement and misunderstandings of this nature. See also below under management and coordination.

Financial management includes management of procurement and recruitment and here there are numerous reports of delays and bureaucratic procedures that collectively have contributed to a delay of 6 months in a 3 year project. To a significant degree this is a consequence of the complex regional, national office financial management system discussed above but is exacerbated by the time taken to follow normal procedures⁶. Such items cannot be anticipated in any AWP and the appropriate response is more flexibility on the part of management.

Possible solutions to these difficulties are discussed below under corrective action

We rate UNDPs financial management to be *marginally unsatisfactory, not very effective and not efficient*

Monitoring evaluation and reporting (R):

The Prodoc describes a detailed monitoring and adaptive management process in 4 pages. This was to be undertaken in collaboration with the CACILM Knowledge Management unit for impact monitoring and refinement of indicators.

The mission was able to sight rudimentary quarterly and annual reports and some contributions to the PIR and a risk assessment logs but these are insufficient for good management as discussed below. Reporting quality varied between countries

The MTE was not able to sight any of the intended tripartite reviews specified as monitoring responsibilities and events in paragraph 213 of the Prodoc.

The key deficiencies are summarized as;

- § Insufficiently comprehensive reports on activities and output achievements; this has been to the disadvantage of the project as the MTE was able to confirm

⁶ For example one transaction for \$15.00 sighted by the team required 11 signatures and one month for processing for a small item needed for a training course banner

activities and achievements that had not been reported (see tables attached to the rating table). There is very little reporting of nationally initiated activities and responses to events and risks and this may impact on the project's capacity for strategic management of the whole MCB through its formal board structure, (see also assumptions and risks below). Lack of intended tripartite reviews may have also been an inhibition to effective strategic decision making at the board level.

- § There is very little evidence that the significant number of workshops and training activities that have been undertaken have been evaluated by participants or project staff. A notable exception is the IFS workshops, some of which have been evaluated. Although evaluating training workshops is not proposed in the Prodoc, or in the Logframe, post training evaluation is standard professional practice and is an important tool in adaptively managing training activities. A template for evaluation was prepared in July 2011 by the CTA but no evidence if its use was sighted
- § The Prodoc describes the development of a score card reporting system together with the Knowledge Management team in MSEC, based largely on an awareness survey. There is evidence that the development of an awareness survey was contracted to establish an awareness baseline, but not completed and no baseline exists. As this is the only impact monitoring tool contemplated in the Prodoc this is a significant deficiency.

Solutions to these deficiencies are discussed below under corrective action

We rate monitoring evaluation and reporting to be *unsatisfactory, not very effective and mostly inefficient*

Management and coordination (R):

Management and coordination is the aspect of the project that has attracted the most consistent criticism and this has come from representatives of all of the donor partnership; UNDP, GIZ, staff and many national counterparts. As discussed above, this has partly arisen because lessons of the first phase of CACILM, the necessity to develop detailed agreements to cover collaboration between partners before the start, were not acted on sufficiently and partly because of the complex regional management model adopted that features confusing and sometimes conflicting lines of authority. The MTE saw evidence that attempts were made by UNDP and GIZ to draw up a memorandum of understanding between the parties, but this happened after the project commenced and does not seem to have been pursued strongly by either. There is an agreement between UNDP and GM and it apparently works well, although its duties are tightly defined in the Prodoc and GM is also a UN institution. Evidence for this finding comes from numerous interviews in each country with references to resulting stress being common. UNDP has also been able to negotiate MOUs with The Ministry of Nature protection in Turkmenistan and the Committee for Environment protection in Tajikistan.

A further source of tension in these arrangements has been an often expressed view that there is a conflict of interest over possible future access to GEF funds from later stages of

CACILM⁷. Dissatisfaction with relative access to GEF funds between donor partners was also a finding from the MTE of the CACILM inception phase and this is another lesson that has not been adequately dealt with. The ADB PCU indicates indirectly that difficulty building adequate collaborative arrangements was a lesson it learned from the CACILM experience. This was exacerbated in the early stages of the project because the regional project manager was not appointed until May 2010.

Another source of tension for middle level staff has been the perceived lack of strategic guidance provided from various levels of the project, particularly after the withdrawal of ADB early in the project period. This is not for lack of will to adapt the project to changed circumstances, the mission sighted at least three versions of Logframes for each country, all developed to try and achieve a satisfactory balance between the original Prodoc single Logframe and the realities in each country. As discussed above, this seems to be partly due to not sufficiently acting on the lesson that project Logframes should be amended in inception if circumstances have changed, and partly because the objective of the project, as interpreted by its management, has been too narrowly focused on the short term outputs listed in the Logframe and not enough on the bigger picture of building capacity for SLM over an extended period through the CACILM framework.

These findings are not given lightly but a possible solution to the agreement between agencies from the private sector is provided under corrective action below.

We assess the project's management arrangements to be *marginally unsatisfactory*

Identification and management of risks:

The Prodoc provides a table summarizing key assumptions and risks, all of which are reflected in the Logframe. The Atlas reporting system includes a section on risk management where the incidence of risk events and management response can be logged and assessed. Following is an analysis of *identified risk* and risk management to this date.

Changes in political commitment of the Governments in combating land degradation

As discussed above under project formulation, because of the withdrawal of ADB support to the CACILM structure (*an unidentified risk*) each government's capacity to meet its commitment to MCB for combating land degradation has been eroded. This change in circumstances was recognized by the project and attempts made to redraw the Logframe and to modify AWP. This event and the Project response were noted in the Atlas risk and Issue logs in January 2011.

All countries are willing to continue to work jointly within the CACILM structure.

This assumption was put to the test with the withdrawal of ADB support for the CACILM structure. This event has been responded to by each country, supported by

⁷ Remarks were heard in several countries to the effect that 'there needs to be some capacity development among the donors on how to work together'

assistance from GIZ. Some capacity has been re-established in each country, one country decided to stay with the NCC/NSEC system with the others adopting other structures aimed at the same duties. The project's response was reported in the Atlas risk and issue logs in January 2011 and is also discussed above. The national and GIZ response is not noted, except as part of their implied participation in board meetings.

No large scale changes in NCC members during the 3 year period.

This assumption also was put to the test with the withdrawal of ADB support. The response has varied in each country, with some countries retaining access to the many of the same people either through new structures, or through (in one case) the retention of the NSEC/NCC structure. This event and the Projects response was noted only indirectly in the risk logs as discussed above. The national response was not noted in these logs.

No unforeseen large scale effects on national budgets as a result of cataclysmic natural events etc

While no such events have occurred, the political events in the Kyrgyz Republic had this potential to disrupt the nation's budget and ability to implement the project in their country. This was reported in the Risk log between May and July 2010 with impacts and the projects budget response. In the event this situation did seriously disrupt the capacity of this country to implement their parts of the project, partly because the project is managed under the DEX (now DIM) system.

Inflation rates and values of currency remain within predictable ranges

This risk has not yet eventuated but remains

Cooperation between farmers groups and federations, state agencies and universities and/or research institutes to develop a system

This risk has not yet eventuated although such communication to the group level is still not possible in one country. The risk remains.

The CACILM pilot projects produce results that are replicable to different regions or under different conditions. Willingness to share failure

This has not proven to be a significant risk; some significant achievements have been made and are being communicated. Preparedness to share failure is not yet apparent.

There is some variation in MCB access to some newer CACILM projects implemented by some of the larger SPA partners, notably ADB and WB.

Adaptive management (R);

As discussed above under assumptions and monitoring, the projects demonstrated capacity to adapt to change is mixed and its reporting system has not really reflected events sufficiently to enable effective strategic guidance through its board structure. Although knowledge of many events may be shared between field staff, they are not always known or acknowledged at all levels and so it is possible for difficulties to not be addressed properly. The lack of intended Tripartite Reviews may have contributed to this.

The major deficiency in this direction has been in the project's response to the withdrawal of ADB support. This was an issue discussed at the Inception workshop where Logframes and work plans were adjusted but a decision was reported as taken not to alter wording apart from names (of NSEC/NCCs). There have been responses at the project and national counterpart levels but these differ between countries and the Logframes generated may not go far enough in recognizing these changes. This is exacerbated by some unrealistic indicators as discussed above under the LFA assessment. The evidence for this comes from an analysis of interviews with the departing RPM, some national coordinators and donor staff who had participated in board meetings on revising Logframes and work plans intended to adjust to the withdrawal of ADB.

This factor has also been discussed above under Monitoring and Evaluation.

The significant consequence is that the project has as a result remained focused on the achievement of short term planned targets consistent with the presence of ADB and has not really addressed the need to build capacity to address land degradation in the long term through a CACLIM framework, as proposed under the Prodoc and in the CACILM framework document.

In practice, as noted by several national counterparts, although the MCB was designed to be part of the inception phase of CACILM it actually followed this. However it retains the strategic purpose of building capacity for the CACILM process in future and can achieve much in the remaining period of the project if it refocuses on this as suggested by most senior national counterparts (four out of five UNCCD focal points stated this).

Solutions to this issue have been proposed under corrective actions below.

We rate adaptive management to be *marginally unsatisfactory, not very effective and inefficient*

Gender:

The TOR required some analysis of the Gender aspects of the project.

The Prodoc does not mention the word gender (we found only engender!) so it is implied there are no particular gender aspects requiring attention. This aspect was discussed during interviews and the results presented below against the questions in the TOR.

Results

We have assessed outcomes against those shown in the Logical Framework Matrix (Annex 4) by reference to the listed indicators as recorded in reports and as supported by observation and interview in many cases. This has been made difficult because of the lack of any formal indicator of impact, and because, as intended in the design, the project actually acts to assist pilot projects with communication etc and so builds on the achievements of others so that attributing cause (project actions) to effects (project outcomes) can only be indicative. We have compared AWP's with reports and our observations to build our assessment of achievements against planned outcomes. The rating below is based on that assessment.

Tables assessing output target achievement towards each outcome in each country were prepared and these and a summary table showing how these were aggregated into the rating table appear in Annex 4.

Attainment of outputs, outcomes and objectives:

Overall Project Objective: *Increased capacity at the national and cross-country levels to develop and implement an integrated approach and strategies to combat land degradation within operational National Programming Framework.*

Since there is not yet any baseline measurement against which a scorecard reporting system could be undertaken, there is no objective way to assess progress towards this objective.

However from; i) our interviews with a wide range of project stakeholders, ii) analysis of reports against achievement against AWP's, and iii) observations in each country, we assess that some progress has been made in spite of the difficulties caused by the abrupt withdrawal of support by ADB for the CACILM structure and other difficulties. The evidence for this is summarized below;

- § Each country has made efforts to re-establish some structure to replicate the intended functions, duties and responsibilities of the CACILM structure, in one case they have retained this and in most others many of the key people involved in the NCCs remain engaged in the replacement UNCCD working groups or similar. This is a remarkable achievement and is a good indication of each Government's commitment to this goal through its key nominated officials. One issue inadequately explained was why the ACG replacement structures for NCCs, developed in the last stages of CACILM were dropped. Some interviews indicated these had a significant degree of acceptance and in some cases were formally signed off by Government.
- § The MSEC multi country structure has survived to some extent, with support from GIZ for the Knowledge Management program although this too has

focused, as far as MCB is concerned, on the achievement of short term targets rather than the long term strategy articulated in the MCB Prodoc.

- § Although ADB indicated the need to make the information from its IS program available on a multi country basis in its PCR, there is no evidence this has occurred.
- § The project has been able to undertake most of the intended multi country activities and exchanges, even in the Kyrgyz Republic where the intelligent establishment of a committee with parliamentarians as facilitated this in a time of change. This also shows continued support for this collaboration. Many officials have strongly stated to the MTE team their wish that the CACILM framework should continue and be given a more durable institutional structure nationally and internationally, to enable long term attention to the need to combat land degradation.
- § Each country has been able to undertake most of its intended activities, (even though reporting does not always indicate progress)
- § There is evidence shown to the MTE team by national focal points of GEF interest in continuing to support the CACILM framework.

We assess that, although capacity according to this overall objective may not have increased much because of the weakened CACILM structure, it is a remarkable achievement that it has survived and that there is will for it to continue. There is a clear wish expressed to the MTE team by key officials in each country that the remainder of the project be more focused on building this long term capacity through the CACILM framework in these ways;

- § To be able clearly demonstrate CACILM's achievements to both national governments and stakeholders, and to the donor community before the end of the project,
- § To assist each country to review the surviving CACILM structure and its substitutes with a view of enhancing their capacity to perform the desired functions under the 4 CACILM projects, both on a national and multi country basis, and to achieve better institutional stability for the CACILM framework. The idea of linking it in some independent way to the International Fund for Aral Sea Saving (IFAS) was suggested by one country focal point and supported by all others. This would have the additional benefit of bringing CACILM in closer communication with water reform, a very significant factor in land degradation, and where CACILM could provide some assistance through activities to improve water use efficiency (WUE) at the field level. (This wish is entirely within the target outputs 1.1 and 1.2 in outcome 1)
- § To clearly articulate to each nation's stakeholders in SLM and to donors the directions CACILM would like to go in subsequent phases to improve up-scaling and replication.

One solution suggested by UNDP, proposed by one country and endorsed by others, was to mount a multi country seminar to show achievements and intended future directions to stakeholders and donors. There are prospects that one country (Turkmenistan) might be

favorable to supporting such an event to a significant extent, even off setting the costs of some invited international attendees.

We rate the achievement of the overall project as *marginally unsatisfactory, somewhat effective and not very efficient*

We have proposed solutions under corrective actions below.

Outcome 1 *Enhanced policy coherence thru mainstreaming of SLM principles into national policies and legislation.*

The indicators for success all really relate to the end of the project situations, and although some may be unattainable because they were too ambitious in the first place, (as discussed above under the LFA assessment) significant progress has been made in spite of a weakened CACILM structure, the evidence is summarized in the following;

- § There has been significant progress in drafting and lobbying for adoption to changes in the pasture and forestry policy and codes in most countries. Although this builds on the achievements of other projects, interviews and observation in each country strongly supports the finding that the MCB has had a significant impact on this achievement as intended in the Prodoc and expressed in the Logframe
- § As noted above, each country has responded to the withdrawal of ADB support in different ways but we assess that coherence between stakeholders is improving as a result of MCB activities in collaborative planning across sectoral lines. This is notably so with the achievements under Outcomes 2, 3 and 4 discussed below. It is noted that the employment of retired and seconded officials and academics as national consultants probably enhances this process of mainstreaming SLM but this is a necessarily long term objective requiring support in the future.
- § Each country through its focal points or other senior officials, has expressed interest in a continuing future for the CACILM framework, and this is a further indication that mainstreaming is occurring and remains a clear wish in spite of the difficulties.

It is the expressed opinion of focal points that it would be a clear backward step to allow this Framework to die following the 10 years of effort and very considerable expenditure in getting this far. The achievement of some international consensus for collaborative arrangements of this nature is known in the literature to be challenging, and to try and start again would be very disheartening to the stakeholders who have supported CACILM this far.

Following is an assessment of achievements of four outputs intended to increase policy coherence:

Output 1.1: A strengthened inter-governmental structure to support SLM

GIZ has provided support to keep some parts of the CACILM Multi country secretariat functioning, particularly for Knowledge Management, although ADB recommended in its PCR that access to the IS products it developed under CACILM continue to be available as a multi country asset, there is no evidence it is enabling this. Apparently ICARDA is continuing intended research under the CACILM R project but it is not clear how or if the results are being made available

Output 1.2: Fortified CACILM national-level structures and mechanism to support policy development and mainstreaming.

Some progress has been made to enable the functions intended by the CACILM structure to be performed under MCB but this is somewhat ad hoc and is removed from the mainstream of reform in one country, not well recognized in some others and requires strengthening so it can perform the intended functions over the longer term (at least 10 year) framework of CACILM in all countries. For some reason the effective work towards the establishment of ACGs, undertaken in the last stages of CACILM 1 were dropped, although they had achieved some official recognition.

Output 1.3. Approved strategy for enabling policy, legislative, and incentive structures to mainstream SLM and operationalize innovative financing:

Work is proceeding quite well in this area, although not in response to any agreed strategy.

Output 1.4: Awareness of decision-makers of SLM goals, objectives and principles increased to facilitate mainstreaming of policies:

It is not clear what is being achieved towards this output although the involvement of a wide range of agencies, national consultants and civil society at different levels in each country suggest that awareness of these principles will be increasing as a result of project activities.

We rate the achievement under this outcome 1 to be *marginally satisfactory, effective and some what efficient*

Our assessment of achievements against specific output targets in each country is tabulated in the Annex 4 rating tables.

Outcome 2 Resources effectively mobilized to support SLM initiatives

As above, all of the indicators for success for this outcome really relate to the whole project period and one is unrealistic⁸ but we assess that progress towards this outcome to be marginally the most successful under the project. The evidence for this is summarized as follows;

⁸ As discussed under the assessment of the LFA above, it is unlikely new commitments of funding towards SLM from project activities as the investment concepts are not due until the end of the project.

- § An analysis of target achievement from reports against AWP for each country, interviews and observations of files and technical reports such as the draft IFS strategies shows that the project is mostly on schedule for this outcome. We also assess it has made contributions to Outcome 1 by building awareness across sectors
- § Interviews with senior officials in four of the five countries rate achievement of this outcome to be the most useful or second most useful outcome under MCB
- § Interviews with other stakeholders and staff most often refer to activities under this project when discussing MCB, (although the dissemination of best practices is also often mentioned, see below)

Following is an assessment of achievement under each of the four output targets.

Output 2.1 – Five national multi-stakeholder working groups are established replete with knowledge, skills, and tools for developing IFSs

This has occurred and as a result of a process of targeting stakeholders in a strategic way

Output 2.2 – Five Integrated Financing Strategies drafted and endorsed by national stakeholders

It is reported that 5 draft IFS strategy documents have been prepared, most were sighted and some have been submitted for review. This process has generated fairly wide interest across agencies and stakeholders and is a notable achievement

Output 2.3: Five SLM Investment Programs Developed:

These are not due by this time of the project.

Output 2.4: Five National Integrated Financing Strategies approved for implementation

These are not yet due for completion.

We rate the achievement against this outcome to be *satisfactory, effective and efficient*

Our assessment of achievement for individual outcome targets in each country is tabulated in Annex 4

Outcome 3 Improved inter-action between state agencies and land users through human resource development

The indicators for success towards this outcome assume the existence of the CACILM structure through which this interaction is to be facilitated and, according to the Prodoc, that these strategies would be incorporated into the NPFs. The weakened CACILM

structure has impacted to some extent on its capacity to facilitate this and the NPFs have lost some support in favor of the earlier NAPs, now intended to be realigned under new funding. However in spite of this setback some progress has been made and this has contributed to some extent to outcome 1 as well. The evidence for this is summarized in the following;

- § Capacity building groups have been formed in one country
- § A capacity needs assessment has been compiled for one country
- § National forums have been held as planned in two countries
- § Training networks and training programs intended to reach down to farmer or pasture user group level have been initiated in a significant way in 4 out of 5 countries
- § Training guides are in preparation in two countries
- § Long term HRD strategies are being drafted and are to form part of the NAPs
- § Achievements towards Outcome 2 have contributed to the interagency activity intended here
- § From interviews, files and observations we assess that this component lacks cohesion and a strategic focus on the bigger picture of SLM in the long term, although there is time to correct this before the end of the project.

Following is an assessment of achievement towards the three outputs intended to produce this outcome

Output 3.1: A national-level, long-term SLM Capacity Building Program approved by NCC.

No such agreed strategy was found, however some thought this output would be achieved with the project to align the NAPs in each country, for which additional funding has been requested. In the absence of an approved NCC or ACG government approval may be difficult to obtain.

Output 3.2: Approved Mechanisms for enhanced communication and coordination between state agencies and land users.

No such approved mechanism, or a communication strategy was sighted, as above, in the absence of an officially recognized NCC or ACG structure obtaining government approval may be difficult to obtain.

Output 3.3: Modular training programs designed and successfully implemented for professionals in state organizations and NGOs to practice a collaborative approach in SLM.

Evidence of training programs were seen in most countries and training was reported to have occurred but reports of these were not sighted and no evaluation of results has occurred.

We assess achievement towards this outcome to be *marginally unsatisfactory, somewhat effective and marginally efficient*

Our assessment of achievement for individual outcome targets in each country is tabulated in Annex 4

Outcome 4 Learning, dissemination and replication of best practices in collaborative SLM developed and strengthened

The indicators for achievement towards this outcome are fairly straightforward. Although reporting of events and trainings are insufficient and there is little evaluation of outcomes; from interviews other files, publications and observations we assess the achievements to be quite good and building capacity for SLM in the long term as intended in the Logframe. The impact of GIZ support for the project is evident in this outcome.

The evidence for this is summarized below;

- § Rudimentary learning networks exist,
- § Learning events have been taking place mostly as intended
- § There are a range of relevant publications in existence or in preparation, and
- § Best practices have been selected, written up and often loaded onto WOCAT (there were some negative comments about the applicability of the WOCAT system to the field in Central Asia due to the level and type of information required)
- § Best practice experience from pilot projects have been evaluated, written up and disseminated to other countries (eg the WOCAT Share Fair in Bishkek in June 2011 and a rangeland experience sharing workshop in Kazakhstan.)
- § This aspect is often discussed when other stakeholders discuss CACILM
- § There is clear evidence from interviews that experience from other countries is understood and considered in many countries, this is particularly so with pasture law and pasture management practices developed in the Kyrgyz Republic, and Kazakhstan and community development practices in Tajikistan.

Following is our assessment of achievement of the three outputs intended to achieve this outcome:

Output 4.1: National Learning Networks on best practices in collaborative SLM established and functioning.

There is evidence of learning networks and developed material on best practices for dissemination in all countries

Output 4.2 Learning and dissemination of best practices in SLM enhanced and strengthened among all relevant stakeholders.

There is evidence of learning and dissemination in all countries. There is no evidence the success of this learning is being evaluated in any formal way.

Output 4.3: Effective system of up scaling and replication of good practices in collaborative SLM on national and regional level established and functional

There is evidence such systems are being developed and may be in place by the end of the project,

We assess of achievement towards this outcome to be *satisfactory, effective and efficient*

An assessment of achievement by target outputs in each country appears in Annex 4

Project impact:

As discussed above under over the all objective there is really no objective way to assess the projects impact. There is strong indirect evidence that it has managed to survive the unfortunate setback due to the withdrawal of ADB and is still has support of key officials including focal points of UNCCD and GEF. It is achieving impact in building capacity for SLM although this has lost some strategic focus on the long term.

Prospects for sustainability (R):

Sustainability of national and multi country commitment towards SLM is the key reason for MCB. As discussed above, this project was intended to begin during the inception phase of CACILM to build capacity for it to be implemented and to achieve better communication between stakeholders for ongoing CACILM activities. In this way it would contribute to CACILM sustainability as a design objective. In the event it was late starting and the CACILM structure through which it was to act has been weakened. In the opinion of focal points or other key stakeholders in all countries, it has now assumed the role as a link between CACILM and later phases, and should be building capacity for later phases of CACILM and so still contributing to sustainability and replication.

However, as articulated by many stakeholders, including senior officials and other stakeholders, the sustainability of the CACILM Framework structure is in doubt and this is of wide concern. The concept is still valued and there are no realistic alternatives in place but 'the brand is weak'. Important stakeholders including donors are unsure about the concrete achievements of CACILM, its institutional structures are fragile although their strength in some countries is better than others, its multi country status is also unclear and there is perceived to be a lack of long term focus on how capacity building for SLM is to be undertaken in the future.

Very considerable time effort and finance has been invested by each country, by donors and other stakeholders towards the CACILM objective since at least 1997 with the introduction of the original NAPs following each country ratifying the UN convention on

combating desertification (UNCCD). The CACILM initiative itself probably began with the 2003 Tashkent Plan of Action in 2003. This meeting and the objectives it aspired to are still referred to by senior figures in almost countries, as it the very considerable effort time and investment that followed it in creating the CACILM framework. Of perhaps more significance, the need for a CACILM like structure able to perform the functions intended under CACILM, is still widely shared and desired and the thought of trying to start again is clearly daunting.

It is these objectives, and the history of effort that is behind the strongly expressed view of focal points and other stakeholders that the CACILM structure ought to be put on a more durable path with the resources remaining under MCB.

This does not require a significant rewriting of the Prodoc and the outcome objectives remain valid. It just requires a better strategic focus on the long term and for the project to demonstrate its undoubted achievements to the wider stakeholder community in each country and among donors.

We assess *sustainability* of the outcomes of MCB to be *moderately unlikely*

Proposals to achieve this are discussed below under corrective action.

Gender issues:

The MTE discussed gender issues in a narrative form by asking if stakeholders thought there were any gender issues and what they were doing that might impact on Gender.

The issues mentioned in the TOR are listed below with out assessment following

- Are women and men involved into project activity equally?

No particular statistics were found and this is not a matter dealt with in project reporting or monitoring. Based on interviewee estimates we assess that women are represented among staff in a greater proportion than the general work force but there has been no particular emphasis on this in recruitment. No mention of gender was found in the Prodoc.

- Is the project maintaining a positive gender equality situation in capacity building to address major LD issues?

The project does not pay any obvious attention to gender aspects of development although some passing mention of Gender exists in AWP's and staff, including that of donors, do not think there are any gender issues in the project.

- Is the project enhancing visibility and awareness of gender-related issues **in improving capacities of Central Asian countries to address the LD issues?**

The project is not overtly enhancing the visibility and awareness of gender issues in improving capacity, except by example as there are a disproportionate number of women in managerial positions, both nationally and internationally including foreign specialists.

- Will the project benefit to women and men equally?

Probably yes but records to date will not show this aspect of development, Project impacts at the field level were only assessed by discussion with some Jamoat staff in one country (including one woman) and by examining the WOCAT documentation of best practices, which also does not address gender overtly.

Conclusions and recommendations

In this section we group the main findings and conclusions together under the Logframe headings in order to substantiate recommendations and lessons for the remainder of the project period.

Findings

We find that the CACILM structure through which the Project was to act and was to strengthen has been weakened by the withdrawal of ADB but not fatally. The CACILM Framework is still highly valued in each country and the MCB needs to better focus its efforts to strengthening this in a few directions so it can play its intended role in building a sustainable SLM structure (as intended in outputs 1.1 and 1.2 under outcome 1).

We find that some SPA partners who formally supported CACILM may not be granting easy access to the 5 countries to assets and products developed under CACILM, this particularly relates to products developed under the IS and Research components by ADB and ICARDA respectively.

We find that the project has in addition been hampered by poor management and coordination caused mostly by not taking into account lessons learned in the Inception phase of CACILM, namely that intentions between donors to collaborate, need to be negotiated carefully and documented as an aid to memory. It is also partly caused by weaknesses in UNDP capacity to manage a regional program, although it probably has better modalities it can use for this purpose. Persistent UNDP weaknesses in procurement, recruitment and command structures have also contributed to delays, an average of about 6 months under this project.

We find that the monitoring, evaluation and reporting system to be inadequate for good adaptive management and for assessing impact. Reports do not do justice to achievements and do not reflect the work of NCC/NSEC equivalents, or deal adequately with strategic issues, risk or gender.

We find that each country has made adjustments to the withdrawal of ADB in different ways, often with the support of GIZ for some shorter term target objectives and this is a good indication of continuing country ownership and donor support

We find that the GIZ technical assistance is highly valued in each country, and by UNDP, in spite of some persistent difficulties with collaborative arrangements.

We find that the Integrated Finance Strategy and the learning and dissemination outcomes have been the most valued and successful of the project activities and that the objective to achieve better policy cohesion is also valued and supported.

We find that the objective of improving interaction between agencies and resource users to be also valued and making some progress although such initiatives require political will in wider areas of government policy and it is only possible for a project like this to move as far as such will allows.

We find that some outcome targets are rather ambitious for a 3 years project and are more sensibly seen as part of long term intentions towards SLM, as is usual in programs addressing natural resource management. That is, this MCB needs to consider itself part of a long term process and to be a link between previous phases of CACILM and the future; rather than a project with essentially short term targets that can otherwise appear to important stakeholders to be disconnected to the wider picture.

Corrective actions for the design, duration, implementation, monitoring and evaluation of the project

We **recommend** the Project is extended for six months on a no cost basis to allow for the delays experienced, permitting it to continue to be the link between past CACILM activities and the future, and to enable a better focus on preparing a platform for renewed investment in SLM. GIZ has indicated they have the resources for this subject to agreement on the negotiations discussed above and the personnel requirements.

We **recommend** the project management and coordination arrangements be reconsidered and reconfigured to improve management and enable a better focus on sustainability of SLM through a CACILM like structure as intended under MCB, as follows;

- § That consideration be given to a regional modality such as that for the UNDP regional Climate Risk Management program managed out of a Bratislava hub in Almaty as this would reduce one layer of management and some complications over allocating budget
- § That the work plans and budgets to be further detailed to remove ambiguity over the purpose of the budget items and include a procedure for deciding on variations that might be required that is acceptable to the partners
- § That the donors partners enter into a detailed MOU describing their respective duties responsibilities and resource allocation and a dispute resolution procedure⁹
- § That Project coordinators be given confidence to take more authority to act under the agreed work plans with supervision being provided *post factum* through monitoring by the RPM and other monitoring activities
- § That a replacement for the RPM be found urgently and through a process that does not require the extended UNDP normal recruiting delays. Such as a SSA system and that this person should be able to command the respect of donors and the focal points of the 5 countries, possibly this might be achieved by the replacement being known to many Focal Points. If budget or other difficulties

⁹ There are private sector mechanisms suitable to regulate the collaboration of organizations who normally compete, known as 'un incorporated joint ventures' these feature a management board with directors from each partner, a detailed definition of roles and resources etc, an appointed manager and a dispute resolution procedure with representatives of the partners not involved in the project.

prevent this being a permanent appointment then consideration might be given to a permanent deputy manager recruited within Central Asia but who is also able to command respect, supported by a short term regular inputs by a senior specialist as described above. With adequate agreements in place between donors and more detailed work plans, inputs of about 6 weeks every 6 months plus part time home office supervision would likely be sufficient.

We **recommend** that the terms of reference of the Regional Project Manager (and deputy if this occurs) be redrawn to emphasis the more strategic aspects of the task as follows and that they report also to the Project Board in addition to UNDP;

- § To assist in enabling a good agreement between the collaborating donors to be negotiated and completed
- § To revamp work plans including better definition of the use of budget towards project outcomes in each country under the operational control of the National Coordinators, and for regional activities under the operation control of the regional project manager (6)
- § To review the regional LFA, particularly the assumptions and indicators for usefulness and develop a methodology to link national AWP for national activities and targets to this regional LFA so cause and effect relationships and strategy are established for monitoring evaluation and reporting
- § To revamp the project monitoring evaluation and reporting system to make it more useful for adaptive management, risk management, gender issues and reporting to higher levels of authority, notably by wider use of post activity evaluations by participants and risk based M&E strategies for both outputs and outcomes.
- § To facilitate an activity to review and enhance the NCC/NSEC equivalent structures in each country to make them more sustainable and useful for later stages of CACILM, as acceptable to focal points or relevant higher authorities in each country. This should include a reassessment of the usefulness and level of official acceptance of the ACG structure developed near the end of the CACILM inception phase.
- § To investigate a more durable institutional system for CACILM as a multi country activity, acceptable to focal points or higher relevant authorities and likely donors. One such structure would be IFAS; this idea has the ‘in principle’ support of significant stakeholders in each country. This institution has the advantage of being signed at presidential level by each country and being an institution that has water policy and sustainable development objectives, both highly relevant to SLM and vice versa. It is recommended that any association with IFAS have a semi independent structure with separate funding lines.
- § To assist in focusing efforts to reporting concrete relevant outcomes and outputs to a significant conference or seminar in the last 6 months of the project extended period.
- § To assist in better defining the course of SLM in future in each country and presenting these to potential donors in the last 6 months of the project This might include the development of concepts for the establishment of regional thematic

centers in each country to improve long term national ownership of the CACILM multi country framework (see also the following section on future directions)

We **recommend** the above proposals for changes to the management arrangements, the changes to the TOR of the RPM and UNDP proposed solutions be put to the Project Board within 3 months and that, deficiencies in management arrangements be noted as a risk in the Risk and Issues logs in the ATLAS system. If this does not occur then the board could suggest the project be wound up.

We **recommend** GIZ be encouraged to continue the provision of highly the valued technical assistance that it has been providing, including the regional CTA, and CTAs in each country as GIZ is able to arrange.

We recommend UNDP Country offices improve collaboration on the national level with the MCB National Coordinators and UNCCD Focal Points in order to strengthen coordination of project implementation. One of the solutions is to include UNCCD and GEF FPs into Capacity Building Units as acceptable to them.

We **recommend** that MCB request the SPA partners ADB and ICARDA to clarify arrangements under which the countries can obtain access to products developed under CACILM and ongoing best practice in the interests of improving the capacity of these countries to promote SLM of a multi country basis.

Actions to Strengthen or reinforce benefits from the project

This is best achieved by improving sustainability of the CACILM Framework structure as described above and achieving a better focus on concrete outcomes and preparing a platform for later stages of CACILM

Proposals for future directions underlining main objectives

Activities under the IFS outcome have been widely valued although some commentary from thoughtful national consultants indicates they are looking forward to when this becomes more focused on specific investment opportunities, such as innovative financing mechanisms, while others see it focusing on the recent ESCAP ‘Green Bridge’ program.

In general terms to MCB might devote attention to proposing how the IFS strategies might be used and strengthened in later stages of CACILM.

Suggestions for strengthening ownership, management of potential risks

As discussed above actions to define future activities such as thematic regional centers in each country and a more stable institutional structure will improve ownership and reduce risk for SLM in the long term.

Incorporating a risk approach to the M&E system would act to reduce some risks the project has been suffering from.

Lessons learned

Good practices and lessons learn

Probably the key lesson learned, is actually relearned following CACILM 1, the great importance of carefully negotiating collaboration agreements between donors before the event.

Another lesson is that it is important to have clear lines of authority so middle management knows what is expected of them at all times.

There are also lessons that UNDP might consider to improve performance in recruitment, procurement and other approval processes, these are procedures reported to exist in UNICEF known as 'document tracing', it is a semi automated system that just electronically tracks the movement of documents between concerned authorities enabling automatic monitoring of processing times.

There may also be benefits in rotating UNDP MCB support staff between Central Asian UNDP offices to improve communication between the states (as CACILM is intended to do) and for other purposes as is common in large organizations.

Annex 1 Terms of Reference

I. INTRODUCTION

This Mid Term Evaluation (MTE) is initiated by the UNDP Kyrgyzstan as the Implementation Agency for this project and it aims to provide managers (at the Project Implementation Unit, UNDP Bratislava Regional Center, UNDP Kyrgyzstan Country Office and UNDP-GEF levels) with strategy and policy options for more effectively and efficiently achieving the project's expected results and for replicating the results. It also provides the basis for learning and accountability for managers and stakeholders.

This evaluation is to be undertaken taking into consideration the GEF Monitoring and Evaluation policy

(<http://thegef.org/MonitoringandEvaluation/MEPoliciesProcedures/mepoliciesprocedures.html>)

and the UNDP-GEF Monitoring and Evaluation Policy

(<http://www.undp.org/gef/05/monitoring/policies.html>).

The MTE is intended to identify potential project design problems, assess progress towards the achievement of objective, identify and document lessons learned (including lessons that might improve design and implementation of other UNDP-GEF projects), and to make recommendations regarding specific actions that might be taken to improve the project. It is expected to serve as a tool of validating or filling the gaps in the initial assessment of relevance, effectiveness and efficiency obtained from monitoring. The MTE provides the opportunity to assess early signs of project success or failure and prompt necessary adjustments.

The evaluation will play a critical role in the future implementation of the project by providing advice on: (i) how to strengthen the adaptive management and monitoring function of the project; (ii) how to ensure accountability for the achievement of the GEF objective¹⁰; (iii) how to enhance organizational and development learning; and (iv) how to enable informed decision - making.

The evaluation will have to provide to the GEF Secretariat with complete and convincing evidence to support its findings/ratings. The evaluator should prepare specific ratings on specific aspects of the project, as described in the section IV of this Terms of Reference. Particular emphasis should be put on the current project results and the possibility of achieving the objective and outcomes in the established timeframe, taking into consideration the speed, at which the project is proceeding.

II. PROJECT OVERVIEW

The GEF/UNDP/GIZ/GM CACILM: Multi-country Capacity Building Project was approved by GEF in 2009. The Inception workshop was organized in March 2010. The project is a 3 year SLM capacity building project being implemented in 5 Central Asian countries (Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan). The project officially commenced in January 2010 and will terminate in December 2012. The project is financed by the Global Environment Facility (GEF) through its Operational Program for Land Degradation, the United Nations Development Programme (UNDP), the German Agency for International Cooperation (GIZ), and the Global Mechanism of the UNCCD (GM). The project is directly executed (DEX) by UNDP CO in 5 Central Asian countries where UNDP CO Kyrgyzstan is Principal Office. In GEF terminology it is a "Full-Size" Project i.e. it has a contribution from GEF exceeding USD 1 million. The total project is valued at USD 6,176,500 of which GEF

¹⁰ According the Guidelines on Gender Mainstreaming at the GEF, data based on analysis of the monitoring and evaluation reports from the GEF projects shows that the projects usually did not monitor or report the progress on its gender elements. Gender is one of the mandatory cross-cutting requirements in the UNDP and GEF global activity and should be incorporated into any UNDP/GEF project cycle

financing is USD 2,865,000 with following in kind/cash contributions: Government of Kyrgyzstan USD 150,000; Government of Kazakhstan USD 100,000, Government of Turkmenistan USD 100,000, Government of Tajikistan USD 100,000, Government of Uzbekistan USD 100,000, UNDP USD 1,961,500, GTZ USD 500,000, GM USD 300,000.

The project is an integrated multi-country initiative within the CACILM CPP and is one of four related multi-country support projects under the CACILM Multi-country Framework Project (CMPF) by contributing the system, institutional, and individual capacities needed to respond to country barriers in terms of an inconsistent and divergent policy environment, inadequate and inefficient resources to combat SLM, gaps in human capital to develop SLM programs, and a disconnect between project level successes and policy making. The project builds upon the structure created by the CMPF and supports the CACILM CPP effort to catalyze efforts to reverse land degradation processes and improve sustainable livelihoods through a consolidated approach put in place by the five Central Asian Countries and Strategic Partnership Agreement members (UNDP, ADB, GTZ, GM, ICARDA, and FAO) with Global Environment Facility (GEF) support.

Building on this framework and consistent with the overall CMPF vision to enhance “the restoration, maintenance, and enhancement of the productive functions of land in Central Asia leading to improved economic and social well-being of those who depend on these resources while preserving the ecological functions of these lands in the spirit of the UNCCD”.

The **goal** of this project is *the restoration, maintenance, and enhancement of the productive functions of land in Central Asia leading to improved economic and social well-being of those who depend on these resources while preserving the ecological functions of these lands in the spirit of the UNCCD*. The project **objective** is *to increase capacity at the national and cross-country levels to develop and implement an integrated approach and strategies to combat land degradation within operational National Programming Framework*.

The project supports the CACs efforts to halt land degradation by enhancing the capability of each nation to execute their National Programming Frameworks. GEF support will result in (a) increased policy coherence; (b) resources effectively mobilized for SLM; (c) improved interaction between state agencies and land users through increased human resources; and (d) developed and strengthened learning, dissemination, and replication of best practices in collaborative SLM. Without this component project, the established multi-country and national support structures will not have the capacity for effective policy-making, planning, and financing SLM initiatives that will meet future challenges and changing land-use scenarios with new global challenges, such as the effects of global warming on agriculture and food systems.

The project is designed to produce four **outcomes**:

Outcome 1: Enhanced policy coherence through mainstreaming of SLM principles into national policies and legislation to promote synergies with other multilateral conservation agreements.

Outcome 1 responds to the policy gaps and to the need for mainstreaming policies on land degradation and how and what type of incentives is available for production processes, funding available for SLM, and finally, the inclusiveness of policies. Outcome 1 will enhance policy coherence by providing the conditions and capacities that will enable the effective review of the policy framework and to the development of tangible recommendations for policy actions at the national and multi-country levels. It was planned that the existing CACILM structure will be the beneficiary of system-level organizational development activities that will make it a more

effective and sustainable forum for bringing together diverse agencies for the purpose of guiding the NPF. The outputs to support Outcome 1 provide for an enabling multi-country agreement, an articulated methodology and tools to analyze and improve policy coherence at the national level. Outputs in support of this Outcome include:

Output 1.1: A strengthened inter-governmental structure to support SLM

Output 1.2: Fortified CACILM national-level structures and mechanism to support policy development and mainstreaming.

Output 1.3: Approved strategy for enabling policy, legislative, and incentive structures to mainstream SLM and operationalize innovative financing:

Output 1.4: Awareness of decision-makers of SLM goals, objectives and principles increased to facilitate mainstreaming of policies:

Outcome 2: Resources effectively mobilized to support SLM initiatives to promote synergies with other multilateral environmental agreements.

This outcome will establish an effective baseline and benchmarks for SLM financing and develop the organic capacities to mobilize resources in support of SLM. The outcome builds-off an initial introduction to the *Developing Integrated Financing Strategies Initiative (DIFS)*, initiated by the Global Mechanism, and seeks to catalyze a capacity enhancement and knowledge exchange process that results in establishing a core national team comprised of relevant governmental and civil society stakeholders enabled for developing an Integrated Financing Strategy (IFS). Outputs in support of this Outcome include:

Output 2.1 – Five national multi-stakeholder working groups are established replete with knowledge, skills, and tools for developing IFSs

Output 2.2 – Five Integrated Financing Strategies drafted and endorsed by national stakeholders.

Output 2.3: Five SLM Investment Programs Developed:

Output 2.4: Five National Integrated Financing Strategies approved for implementation

Outcome 3: Improved inter-action between state agencies and land users through human resource development.

Outcome 3 responds to the need for a collaborative approach by increasing the system, institutional and individual capacities to implement a multi-stakeholder management process within the “integrated area based approach.” This will be realized through an increase in the capacity for collaborative SLM by improving the interaction, communication, and coordination between state agencies, land users, and other principal stakeholders at the local and national levels. This exchange will increase the local inputs into policy-making and improvements to the legal framework while lending higher visibility of the concerns of the actors at the local level. Outcome 3 emphasizes both short-term interventions in establishing the basis for collaborative resource management, through training and events while developing long-term frameworks in the form of capacity building strategies and action plans oriented to specific stakeholder groups. The specific outputs are:

Output 3.1: A national-level, long-term SLM Capacity Building Program approved by NCC.

Output 3.2: Approved Mechanisms for enhanced communication and coordination between state agencies and land users.

Output 3.3: Modular training programmes designed and successfully implemented for professionals in state organisations and NGO to practise a collaborative approach in SLM.

Outcome 4: Learning, dissemination and replication of best practices in collaborative SLM developed and strengthened.

This outcome is designed to be fully complementary to the CACILM SLM Knowledge Network (CKN), under the auspices of the CACILM Knowledge Management Project (SLM-KM). The learning networks, events, tools, and strategies established within this outcome provide a forum for horizontal and vertical integration that enable participants to partake in blended learning and

in face-to-face events at the national level. These will complement the information presented in the multi-country web-based CACILM Knowledge Network. The national learning events will provide an opportunity to provide the CKN with enhanced levels of promotion that are essential in engaging members from an extensive base of ground-level networks capable of feeding new learning products into the CKN communication channels.

The development of learning networks on national level that connect decision-makers with the grass roots experiences in combating land degradation and that enable an effective horizontal and vertical exchange of leaning at the national-level. These networks will focus on personal and face-to-face interaction in a way that reaches the majority of the stakeholders, many of whom do not have access to computers or electronic networks.

The development of interactive learning events, products, and tools that provide for the level of interaction required for a truly interactive multi-stakeholder community. The key outputs will include:

Output 4.1: National Learning Networks on best practices in collaborative SLM established and functioning.

Output 4.2 Learning and dissemination of best practices in SLM enhanced and strengthened among all mrelevant stakeholders.

Output 4.3: Effective system of up scaling and replication of good practices in collaborative SLM on national and regional level established and functional.

III. EVALUATION OBJECTIVES

The MTE is initiated by UNDP Principal Country Office in Kyrgyzstan in line with the UNDP-GEF M&E guidelines in order to assess the overall project progress, make sure the project is on track to deliver the agreed outcomes, and produce recommendations on any adjustments needed.

The purposes of the MTE are:

- (i) To assess overall performance against the project objective and outcomes as set out in the Project Document, project's Strategic Results Framework (SRF) and GEF Increment, and other related documents¹¹;
- (ii) To assess the effectiveness and efficiency of the project;
- (iii) To analyze critically the implementation and management arrangements of the project;
- (iv) To assess the progress to date towards achievement of the outcomes;
- (v) To recommend the project in improving/updating its Outcomes' indicators;
- (vi) To review planned strategies and plans for achieving the overall objective of the project within the timeframe;
- (vii) To assess the sustainability of the project's interventions;
- (viii) To list and document initial lessons concerning project design, implementation and management¹²;
- (ix) To assess project relevance to national priorities (including achieving gender equality goals);
- (x) To provide guidance for the future project activities and, if necessary, for the implementation and management arrangements and actions that might be taken to improve the project.

In particular, this evaluation will assess progress in establishing the information baseline, reducing threats, and identifying any difficulties in project implementation and their causes, and recommend corrective course of action. Effective action to rectify any identified issues hindering prior to determining whether implementation should proceed.

¹¹ Such as UNDP KGZ Country Gender Mainstreaming Strategy

¹² Including achieving gender equality goals, setting gender-sensitive indicators and ensuring gender balance among the project's beneficiaries and target groups

Project performance will be measured based on Project's Strategic Results Framework (SRF) and GEF Increment Matrix (see Annex 3), which provides clear performance and impact indicators for project implementation along with their corresponding means of verification. Success and failure will be determined in part by monitoring changes in baseline conditions.

Recommendation of the evaluation should also include follow gender criteria¹³:

- Are women and men involved into project activity equally?
- Is the project maintaining a positive gender equality situation in capacity building to address major LD issues?
- Is the project enhancing visibility and awareness of gender-related issues **in improving capacities of Central Asian countries to address the LD issues?**
- Will the project benefit to women and men equally?

The evaluation team is expected to work with key project stakeholders, including UNDP Country Offices in Central Asian countries, project's beneficiaries and partners in each country and existing CACILM governance structures (Msec, and Nsecs) as well as UNCCD working groups.

IV. SCOPE OF THE EVALUATION

The evaluation will focus on the range of aspects described below. In addition to a descriptive assessment, all criteria marked with (R) should be rated using the following divisions: *Highly Satisfactory*, *Satisfactory*, *Marginally Satisfactory*, *Marginally Unsatisfactory*, *Unsatisfactory*, *Highly Unsatisfactory*. All ratings given should be properly substantiated:

1. Project concept/design, relevance and strategy

1.1 Project relevance, country ownership/drivenness (R): the extent to which the project is suited to local and national development priorities and organizational policies, including changes over time as well as the extent the activities contribute towards attainment of global environmental benefits:

- a. Is the project concept in line with the sectoral and development priorities and plans of the country, including MDGs?
- b. Are project outcomes contributing to national development priorities and plans?
- c. How and why project outcomes and strategies contribute to the achievement of the expected results.
- d. Examine their relevance and whether they provide the most effective way towards results.
- e. Do the outcomes developed during the inception phase still represent the best project strategy for achieving the project objectives (in light of updated underlying factors)? *Consider alternatives.*
- f. Were the relevant country representatives, from government and civil society, involved in the project preparation?
- g. Does the recipient government maintain its financial commitment to the project? Has the government approved policies or regulatory frameworks in line with the project's objectives?

1.2 Preparation and readiness:

- a. Are the project's objective and components clear, practicable and feasible within its timeframe?

¹³ In relation to the abovementioned, it should be noted that there is increasing feminization of poverty in Kyrgyzstan (70% of poor and poorest are women according to a World Bank assessment). There is an exclusion of women's groups from management of natural resources, decision making in environment protection, and from raising awareness on this issue. Achieving Gender Equality goals is reflected in UNDP Global Gender Equality Strategy for 2008-2011 and in a road map on making women's and men's concerns an integral dimension of all aspects and areas of UNDP's work. UNDP Kyrgyzstan also developed Country Gender Mainstreaming Strategy (2008-2011) and annual working plans for its implementation.

- b. Were the capacities of executing institution and counterparts properly considered when the project was designed?
- c. Were lessons from other relevant projects properly incorporated in the project design?
- d. Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project approval?
- e. Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place at project entry?

1.3 Stakeholder involvement (R):

- a. Did the project involve the relevant stakeholders through information-sharing, consultation and by seeking their participation in the project's design?
- b. Did the project consult and make use of the skills, experience and knowledge of the appropriate government entities, NGOs, community groups (including women's and youth groups), private sector, local governments and academic institutions in the design of project activities?

1.4 Underlying factors/assumptions:

- a. Assess the underlying factors beyond the project's immediate control that influence outcomes and results. Consider the appropriateness and effectiveness of the project's management strategies for these factors.
- b. Re-test the assumptions made by the project management and identify new assumptions that should be made.
- c. Assess the effect of any incorrect assumptions made by the project.

1.5 Management arrangements (R):

- a. Were the project roles properly assigned during the project design?
- b. Are the project roles in line with UNDP and GEF programming guidelines?
- c. Can the management arrangement model suggested by the project be considered as an optimum model? If no, please come up with suggestions and recommendations.

CACILM MCB project has been conceived as a regional project under a single log-frame encompassing all outcomes, outputs and activities regardless whether they imply initiatives and efforts to be made by country components and/or by the regional level.

1.6 Project budget and duration (R):

- a. Assess if the project budget and duration were planned in a cost-effective way?

7

1.7 Design of project M&E system (R):

- a. Examine whether or not the project has a sound M&E plan to monitor results and track progress towards achieving project objectives.
- b. Examine whether or not the M&E plan includes a baseline (including data, methodology, etc.), SMART indicators and data analysis systems, and evaluation studies at specific times to assess results and adequate funding for M&E activities.
- c. Examine whether or not M&E plan includes gender-sensitive and gender-disaggregated indicators for tracking progress on achieving gender equality corporate goals.
- d. Examine whether or not the time frame for various M&E activities and standards for outputs are specified.

1.8 Sustainability:

- a. Assess if project sustainability strategy was developed during the project design?
- b. Assess the relevance of project sustainability strategy

2. Project implementation

2.1 Project's adaptive management (R):

- a. Monitoring systems
 - Assess the monitoring tools currently being used:
 - Do they provide the necessary information?

- Do they involve key partners?
 - Are they efficient?
 - Are additional tools required?
 - Assess the use of the logical framework as a management tool during implementation and any changes made to it.
 - What impact did the retro-fitting of impact indicators have on project management, if such?
 - Assess whether or not M&E system facilitates timely tracking of progress towards project's objectives by collecting information on chosen indicators continually; annual project reports are complete, accurate and with well justified ratings; the information provided by the M&E system is used to improve project performance and to adapt to changing needs.
 - b. Risk Management
 - Validate whether the risks identified in the project document and PIRs are the most important and whether the risk ratings applied are appropriate. If not, explain why.
 - Describe any additional risks identified and suggest risk ratings and possible risk management strategies to be adopted.
 - Assess the project's risk identification and management systems:
 - Is the UNDP-GEF Risk Management Systems ¹⁴appropriately applied?
 - How can the UNDP-GEF Risk Management System be used to strengthen the project management?
 - c. Work Planning
 - Assess the use of routinely updated work plans.
 - Assess the use of electronic information technologies to support implementation, participation and monitoring, as well as other project activities.
 - Is work planning process result-based¹⁵? If not, suggest ways to re-orientate work planning.
 - d. Financial management
 - Consider the financial management of the project, with specific reference to the cost effectiveness of interventions. (Cost-effectiveness: the extent to which results have been delivered with the least costly resources possible.). Any irregularities must be noted.
 - Is there due diligence in the management of funds and financial audits?
 - Did promised co-financing materialize (please fill out the co-financing form provided in Annex 1)?
 - e. Reporting
 - Assess how adaptive management changes have been reported by the project management.
 - Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.
 - f. Delays
 - Assess if there were delays in project implementation and what were the reasons.
 - Did the delay affect the achievement of project's outcomes and/or sustainability, and if it did then in what ways and through what causal linkages?
- 2.2 Contribution of Implementing and Executing Agencies:*
- b. Assess the roles of UNDP and major stakeholders (UNCCD working groups) against the requirements set out in the UNDP Programme and Operations Policies and Procedures⁷.
- Consider:
- Field visits if relevant

¹⁴ UNDP-GEF's system is based on the Atlas Risk Module. See the UNDP-GEF Risk Management Strategy resource kit, available as Annex XII at <http://www.undp.org/gef/05/monitoring/policies.html>

¹⁵ RBM Support documents are available at <http://www.undp.org/eo/methodologies.htm>

- Participation in Project Board Meetings;
- Project reviews, PIR preparation and follow-up;
- GEF guidance;
- Operational support;
- c. Consider the new UNDP requirements outlined in the UNDP Programme and Operations Policies and Procedures¹⁶, especially the Project Assurance role, and ensure they are incorporated into the project's adaptive management framework.
- d. Assess the contribution to the project from UNDP, GIZ, GM and Governments of Central Asia Countries (i.e. policy advice & dialogue, advocacy, and coordination).
- e. Suggest measures to strengthen UNDP's soft assistance to the project management.

2.3 Stakeholder participation, partnership strategy (R):

- a. Assess whether or not and how local stakeholders participate in project management and decision making. Include an analysis of the strengths and weaknesses of the approach adopted by the project and suggestions for improvement if necessary.
- b. Does the project consult and make use of the skills, experience and knowledge of the appropriate government entities, NGOs, community groups (including women's groups), private sector, local governments and academic institutions in the implementation and evaluation of project activities?
- c. Consider the dissemination of project information to partners and stakeholders, considering corporative requirements on equal access to information for women and men, and if necessary suggest more appropriate mechanisms.
- d. Identify opportunities for stronger partnerships.

2.4 Sustainability:

- a. Assess the extent to which the benefits of the project will continue, within or outside the project scope, after it has come to an end; commitment of the government to support the initiative beyond the project.

- b. The evaluators may look at factors such as mainstreaming project objectives into the broader development policies and sectoral plans and economies.

The sustainability assessment will give special attention to analysis of the risks that are likely to affect the persistence of project outcomes. The sustainability assessment should also explain how other important contextual factors that are not outcomes of the project will affect sustainability.

The following four dimensions or aspects of sustainability will be addressed:

- *Financial resources*: Are there any financial risks that may jeopardize sustenance of project outcomes? What is the likelihood of financial and economic resources not being available once the GEF assistance ends (resources can be from multiple sources, such as the public and private sectors, income generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project's outcomes)?
- *Socio-political*: Are there any social or political risks that may jeopardize sustenance of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the 79 project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?
- *Institutional framework and governance*: Do the legal frameworks, policies and governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems for accountability and transparency, and the required technical know-how are in place.

¹⁶ Available at <http://content.undp.org/go/userguide/results/project/>

- *Environmental*: Are there any environmental risks that may jeopardize sustenance of project outcomes? The terminal evaluation should assess whether certain activities will pose a threat to the sustainability of the project outcomes. On each of the dimensions of sustainability of the project outcomes will be rated as follows:

- *Likely (L)*: There are no or negligible risks that affect this dimension of sustainability.
- *Moderately Likely (ML)*: There are moderate risks that affect this dimension of sustainability.
- *Moderately Unlikely (MU)*: There are significant risks that affect this dimension of sustainability
- *Unlikely (U)*: There are severe risks that affect this dimension of sustainability.

3. Project results (outputs, outcomes and objectives)

3.1 Progress towards achievement of intended outputs, outcomes/measurement of change:

Progress towards results should be based on a comparison of indicators before and after (so far) the project intervention.

To determine the level of achievement of project outcomes and objectives following three criteria should be assessed:

- *Relevance*: Are the project's outcomes consistent with the focal areas/operational program strategies and country priorities?
- *Effectiveness*: Are the actual project outcomes commensurate with the original or modified project objectives? In case the original or modified expected results are merely outputs/inputs then the evaluators should assess if there are any real outcomes of the project and if yes then whether these are commensurate with the realistic expectations from such a project.
- *Efficiency*: Is the project cost effective? Is the project the least cost option? Is the project implementation delayed and if it is, then does that affect cost-effectiveness? Wherever possible, the evaluator should also compare the cost-time vs. outcomes relationship of the project with that of other similar projects.

Outcomes and the whole project should be rated as follows for relevance, effectiveness, efficiency:

- *Highly Satisfactory (HS)*: The project has no shortcomings in the achievement of its objectives.
- *Satisfactory (S)*: The project has minor shortcomings in the achievement of its objectives.
- *Marginally Satisfactory (MS)*: The project has moderate shortcomings in the achievement of its objectives.
- *Marginally Unsatisfactory (MU)*: The project has significant shortcomings in the achievement of its objectives.
- *Unsatisfactory (U)*: The project has major shortcomings in the achievement of its objectives.
- *Highly Unsatisfactory (HU)*: The project has severe shortcomings in the achievement of its objectives.

V. EVALUATION DELIVERABLES

The core product of the Mid-Term Evaluation will be the Mid-Term Evaluation Report that includes:

- Findings with the rating on performance;
- Conclusions drawn;
- Recommendations for improving delivery of project outputs;
- Lessons learned concerning best and worst practices in producing outputs;
- A rating on progress towards outputs.

10

The report is proposed to adhere to the following basic structure:

1. Executive summary

- Brief description of project
- Context and purpose of the evaluation
- Main conclusions, recommendations and lessons learned

2. Introduction

- Project background
- Purpose of the evaluation
- Key issues to be addressed
- The outputs of the evaluation and how will they be used
- Methodology of the evaluation
- Structure of the evaluation
- 3. The project and its development context
 - Project start and its duration
 - Implementation status
 - Problems that the project seeks to address
 - Immediate and development objectives of the project
 - Main stakeholders
 - Results expected
 - Analysis of the situation with regard to outcomes, outputs and partnership strategy
- 4. Findings and Conclusions
 - 4.1 Project formulation
 - Project relevance
 - Implementation approach
 - Country ownership/Driveness
 - Stakeholder participation
 - Replication approach
 - Cost-effectiveness
 - Sustainability
 - Linkages between project and other interventions within the sector
 - Management arrangements
 - 4.2 Project implementation
 - Financial management
 - Monitoring and evaluation
 - Management and coordination
 - Identification and management of risks (adaptive management)
 - 4.3 Results
 - Attainment of outputs, outcomes and objectives
 - Project Impact
 - Prospects of sustainability
- 5. Conclusions and recommendations
 - Findings
 - Corrective actions for the design, duration, implementation, monitoring and evaluation of the project
 - Actions to strengthen or reinforce benefits from the project
 - Proposals for future directions underlining main objectives
 - Suggestions for strengthening ownership, management of potential risks
- 6. Lessons learned
 - Good practices and lessons learned in addressing issues relating to effectiveness, efficiency and relevance
- 7. Annexes
 - Evaluation TOR
 - Itinerary
 - List of persons interviewed
 - Summary of field visits
 - List of documents reviewed
 - Questionnaire used (if any) and summary of results

- Comments by stakeholders (only in case of discrepancies with evaluation findings and conclusions)

The Report will be supplemented by Rate Tables, attached in Annex 4 of this TOR.

The Report will include a table of planned vs. actual project financial disbursements, and planned co-financing vs. actual co-financing in this project, according the table attached in Annex 1 of this TOR.

The expected length of the report is around 50 pages in total. The first draft of the report is expected to be submitted to the UNDP Country Office in Kyrgyzstan within 2 weeks of the in-country mission for subsequent circulation to the key project stakeholders for comments. Any discrepancies between the interpretations and findings of the evaluator and the key project stakeholders will be explained in an annex to the final report.

VI. METHODOLOGY

An outline of an evaluation approach is provided below; however it should be made clear that the evaluation team is responsible for revising the approach as necessary. Any changes should be inline with international criteria and professional norms and standards (as adopted by the UN Evaluation Group¹⁷). They must be also cleared by UNDP before being applied by the evaluation team.

The evaluation must provide evidence-based information that is credible, reliable and useful. It must be easily understood by project partners and applicable to the remaining period of project duration. Evaluators should seek guidance for their work in the following materials, which could be found at (www.undp.org/gef):

- UNDP Handbook on Monitoring and Evaluation for Results;
- UNDP/GEF M&E Resource Kit;
- Measuring Results of the GEF Biodiversity Programme.

It is recommended that the evaluation methodology include the following:

- Documentation review (desk study), to include Project Document, GEF Project Implementation Reviews, Minutes of the Project Board meetings, GEF operational quarterly updates;
- Interviews with Regional and National Capacity Building Units, and key project stakeholders, including UNDP Country Offices in Central Asian Countries, GEF Regional Coordination Unit in Bratislava, existing CACILM governance structures (Msec and Nsecs), UNCCD Focal Points (working groups) and other stakeholders, as necessary;
- Visiting of Central Asian countries;
- In-country field visits if needed.

VII. EVALUATION TEAM

The evaluation will be undertaken by a team composed of an *International Consultant (Team Leader)* and a *Local Consultant*. They will receive the support of UNDP Country Offices, Regional and National Capacity Building Units, and will be assisted by a translator/interpreter (when and if needed). The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The *International Consultant - Team Leader* will be responsible to deliver the expected output of the mission. Specifically, he/she will perform the following tasks:

- Lead and manage the evaluation mission;
- Design the detailed evaluation methodology and plan;

¹⁷ See <http://www.uneval.org/>

- Conduct desk-reviews, interviews and site-visits in order to obtain objective and verifiable data to substantive evaluation ratings and assessments, including:

- DIFS methodology
- And, any product the Project has produced up to date
- Draft the evaluation report and share with the key stakeholders for comments;
- Finalize the evaluation report based on the inputs from key stakeholders.

Qualification requirements for the *International Consultant - Team Leader*:

- Post Graduate Degree in Environment Studies (preferably, specialization in land degradation and land management) or related area;
- Extensive experience and proven track record with policy advice and/or project development/implementation in environment (preferably in land degradation and land management) in transition economies;
- Proven track record of application of results-based approaches to evaluation of projects focusing on in environment/land degradation and land management in the Central Asia(experience in the CIS region and within UN system would be an asset);
- Familiarity with priorities and principles of sustainable land management (SLM) and relevant international best-practices;
- Knowledge of and recent experience in applying UNDP and GEF M&E policies and procedures;
- Competence in Adaptive Management, as applied to natural resource management projects;
- Good understanding of UNCCD;
- Basic understanding of gender equality concept;
- Demonstrable analytical and report writing skills;
- Experience with multilateral or bilateral supported land management projects;
- Excellent English communication skills, knowledge of Russian would be an asset;
- Good interpersonal skills.

The *Local Consultant* (one, who is well familiar with CAC specificity) will provide input in reviewing all the project-relevant documentation and provide the Team Leader with a compilation of information prior to the evaluation mission. Specifically, the Local Consultant will perform the following tasks:

- Review the original documents;
- Participate in the design of the evaluation methodology;
- Organize the mission program, arrange and facilitate meetings with key stakeholders;
- Provide regular translation/interpretation as necessary;
- Draft related parts of the evaluation report, as relevant;
- Assist the International Team Leader in finalizing the draft report by incorporating inputs received;
- Provide other support services for the International Team Leader.

Qualification requirements for the *Local Consultant*:

- University degree in environmental sciences (agronomy, biology, zoology or related area);
- At least 3-year experience in project development and/or evaluation, preferably in the field of environment protection (preferably, specialization in land degradation and land management);
- Experience of work in the CIS region particularly knowledge of Central Asia Countries' specificity is a strong asset;
- Basic understanding of gender equality concept;
- Excellent time-management skills;
- Excellent interpersonal and communicational skills;
- Proficiency in English and Russian (one of Central Asian languages would be an asset);
- Prior experience with UNDP would be an asset.

VIII. MANAGEMENT ARRANGEMENTS

The principal responsibility for managing this evaluation lies with UNDP Country Office in Kyrgyzstan. It will be responsible for liaising with the project team to set up the stakeholder interviews, arrange the field visits, coordinate with the project partners and UNDP country Offices in other Central Asian countries.

These Terms of Reference follow the UNDP-GEF policies and procedures, and together with the final agenda will be agreed upon by the UNDP-GEF Regional Coordinating Unit and UNDP Country Office in Kyrgyzstan. These three parties will receive a draft of the final evaluation report and provide comments on it prior to its completion.

The evaluation mission will take place during the total duration of the assignment will be 30 Calendar days. The following timetable is recommended for the evaluation:

Desk review, development of methodology 3 days

In-country field visits, interviews 3 days for each country (15 in total)

Drafting report 4 days

Draft report circulation 3 days

Finalization and presentation of report 5 days

Prepared by: Approved by:

VIII Application process

Applicants are requested to apply online on <http://jobs.undp.org>

The application should contain current and complete P11 form in English with indication of the e-mail and phone contact. Shortlisted candidates will be requested to submit price offer (Financial proposal) indicating the total cost of the assignment (including the daily fee, per diem and travel costs, preferably according the template attached in Annex 6.

UNDP applies fair and transparent selection process that would take into account the competencies/skills of the applicants as well as their financial proposals.

Qualified women and members of social minorities are encouraged to apply.

UNDP is a non-smoking work environment.

Due to large number of applicants, UNDP regrets that it is unable to inform the unsuccessful candidates about the outcome or status of the recruitment process.

IX EVALUATION REPORT: SAMPLE OUTLINE Minimum GEF requirements¹

Executive summary

- Brief description of project
- Context and purpose of the evaluation
- Main conclusions, recommendations and lessons learned

Introduction

- Purpose of the evaluation
- Key issues addressed
- Methodology of the evaluation
- Structure of the evaluation

¹ Please refer to GEF guidelines for explanation of Terminology

14

The project(s) and its development context

- Project start and its duration
- Problems that the project seek to address
- Immediate and development objectives of the project
- Main stakeholders
- Results expected

Findings and Conclusions

(In addition to a descriptive assessment, all criteria marked with () should be rated^[1])*

0 Project formulation

- Implementation approach (*) (i)
- Analysis of LFA (Project logic /strategy; Indicators)
- Lessons from other relevant projects (e.g., same focal area) incorporated into project implementation
- Country ownership/Driveness
- Stakeholder participation (*)
- Replication approach
- Cost-effectiveness
- UNDP comparative advantage
- Linkages between project and other interventions within the sector
- Management arrangements

θ **Implementation**

- Implementation approach (*) (ii)
- The logical framework used during implementation as a management and M&E tool
- Effective partnerships arrangements established for implementation of the project with relevant stakeholders involved in the country/region
- Feedback from M&E activities used for adaptive management
- Financial Planning
- Monitoring and evaluation (*)
- Execution and implementation modalities
- Management by the UNDP country office
- Coordination and operational issues

θ **Results**

- Attainment of objectives (*)
- Sustainability (*)
- Contribution to upgrading skills of the national staff

Recommendations

- Corrective actions for the design, implementation, monitoring and evaluation of the project
- Actions to follow up or reinforce initial benefits from the project
- Proposals for future directions underlining main objectives

Lessons learned

Best and worst practices in addressing issues relating to relevance, performance and success

Additional annexes

- List of persons interviewed
- Summary of field visits
- List of documents reviewed
- Questionnaire used and summary of results

[1] The ratings will be: Highly Satisfactory, Satisfactory, Marginally Satisfactory, Unsatisfactory

Annex 2 Schedule of Meetings and Country visits

Kyrgyz Republic Visit (Regional) (Aug 15th -17th)

Mr. Daniar Ibragimov	UNDP
Mr. Kumar Kylychev	UNDP
Mr. Vitaliy Gromov	RPM
Mrs. Ilka Starrost	GIZ Reg. CTA
Mrs. Dinara Djumanalieva	OFA (assisting Regional Office)
Mr. Pradeep Sharma (DRR)	DRR UNDP
Mr. Kanat Sultanaliyev	GM

Kyrgyz Republic Visit (National) (Aug 18th -19th)

Gulmira Torokulova	NC
Kubanychbek Kulov	UNCCD Focal Point
Esengul Isakov	Parliament Secretary
Baibek Usubaliyev,	Suusamyrl PM
Sanjar Mukanbetov	State Secretary MER
Nurbek Dooranov	Min Ag Pasture User Liaison officer
Bekkulova Jyparkul	SAEPF
Natalya Dolinskaya,	National Consultant
Talant Mambetov	National Consultant
Janyl Kojomuratova	Camp Alatoo
Kathrin Uhlemann,	GIZ CTA
Dinara Djumanalieva	OFA

Debriefing (last three)

Kazakhstan Visit (Aug 21st – 24th)

Mr. Yerlan Zhumabayev	NC
Ms. Snezhanna Orymbayeva	OFA
Mr. Bulat Bekniyz	UNCCD Focal Point
Ekaterina Paniklova	UNDP DRR
Stanislav Kim	UNDP
Ruslan Bultrikov	V Min Ministry of Environment
Nysanbayev, Yerlan Nuraliyevich	Chair, Hunting and Forestry Committee
Yermerova, Nessipbala	National Consultant

Debriefing Astana (NC)

Simon Croxton	WB Almaty regional office
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Bakhtiyar Sadyk
Mr. Heino Hertel
Yegor Volovik
Management program

PM Rangeland Man Project
GIZ CTA
RM CA Climate Risk

Uzbekistan Visit (Aug 25- 27th)

Ms. Natalya Shulgina
Mr. Maruf Abdukadirov
Mr. Bakhtiyor Kadyrov,

NC
OFA
Dep Gen Dir, CACILM NCC member,
National Focal Point of UNCCD

Ms. Raisa Taryannikova,
Ms. Gulchehra Khasankhanova,
Bakhadir Khusanov
Alexandr Chertovitskiy
Bakhtiyor Kadyrov

Head of CACILM National Secretariat
Project M&E Specialist, CACILM NSEC
IFS team Leader
National Consultant SLM mainstreaming
Dep Dir CACILM NCC National Focal
point UNCCD

Saidrasul Sanginov

Dep Chair Comm Ecological movement
of Uzbekistan NCC member

Asamet Taskev
Abduvakkos
Jaco Cilliers
Stefan Liller
Irena Bekmiraeva

UNDP
UNDP Head of Env. & Energy unit
UNDP Deputy Res Rep
UNDP
PM "Achieving ecosystem stability in
Karakalpakstan"

Mr Tulkin Mirzaov

Deputy chief of Finance Ag industrial
complex, NCC Member

Natalya Galtsera
Uzbekistan
Bakhadir Khusanov

PM, climate risk management in

IFS team Leader

Debriefing (NC OFA)

Tajikistan Visit (Aug 30-Sept 1st)

Firuz Ibragimov,
Nasiba Karimova
Sukhrob Khoshmukhamendov.
Mr. Mirzohaydar Isoev
Davlatov Khursand

NC
OFA
UNDP Assistant Res Rep
UNDP
Dep Chair Min Environment protection,
focal point UNCCD
GIZ Forestry Specialist
National Consultant

Joachim Kirchoff
Nozingor Rak

Bhaktiar azkov
 Morud Egashev
 Rum topaz
 Ms. Gulshan Karimova
 Mr. Kuvvat Murodov
 Mr. Ghani Haitov,

National Consultant
 IFS T/L
 National Consultant
 Jamout Leader "Sabo".
 Jamoat Leader 2 JRC "Romit".
 JRC "Rabot".

Asel Chyngysheva

ADB Officer

Debriefing (NC)

Turkmenistan Visit (Sept 3-6th)

Mr. Muhammed Durikov
 Mr. Sultan Veysov
 Ms. Bahar Mamedova
 Ersanov Peltamet
 Annamukhamedov Ovez
 Rovshan Nurmuhamedov
 Djernskid/ Khadjiyev
 Maneio Dave
 Ms. Bahar Mamedova
 Mr. Nazar Korpeyev
 Mr. Stanislaw Aganov
 Mr. Yolbars Kepbanov
 Mr. Lado Mkrtychyan

UNCCD Focal Point
 PC

 Director desert institute
 Deputy Chair of Working group
 UNDP
 UNDP Admin finance assistant
 OFA
 Local Consultants
 Local Consultants
 Local Consultants
 Local Consultants
 Local Consultants

Debreifing (NC)

Debriefing MTE Mission (12th Sept)

Daniar Ibragimov
 Kumar Kylychev
 Ilka Starrost
 Kathrin Uhlemann
 ?
 Kanat Sultanaliev
 Gilmira Torokulova
 Dinara Djumanalieva

UNDP
 UNDP
 GIZ
 GIZ
 GIZ
 GM
 NC
 OFA

Annex 3 List of documents reviewed

1. ADB CACILM Project completion report (from the web)
2. GEF Monitoring and Evaluation Policy
3. Measuring Results of the GEF Biodiversity Programme
4. UNDP Handbook on Monitoring and Evaluation for Results
5. UNDP/GEF M&E Resource Kit
6. UNDP Global Gender Equality Strategy for 2008-2011
7. UNDP Programme and Operations Policies and Procedures
8. UNDP Evaluation policy
9. CACILM MCB Project Document
10. Minutes of the Project Board meeting, 2011
11. Project Logframe and supporting National log frames,
12. Annual Work Plans 2010
13. Annual Project Reports, 2010
14. Annual Work Plans 2011
15. Semi-annual Project Report, 2011
16. GEF Operational Quarterly Reports. 2010-2011
17. Minutes of the Project Meetings 2010-2011, Kyrgyzstan
18. Minutes of the Project Meetings 2010-2011, Turkmenistan
19. Project consultants reports 2010-2011, Kazakhstan
20. Knowledge, Attitude and Practice Survey Report, Kazakhstan
21. Report on updated roles of CACILM partners in Kazakhstan
22. BTOR 2010-2011, Tajikistan
23. PIMS 3790 Inception Report all in one

24. Project consultants reports 2010-2011, Tajikistan
25. NSEC Logframe 2011, Tajikistan
26. NSEC Workplan 2010-2011, Tajikistan
27. Booklet CACILM best practices in SLN, Turkmenistan
28. Uzbekistan priorities for CACILM 2

Annex 4 Co financing

Co-financing table (**Note:** no co financing table appears in the signed final Prodoc (Dec 04 version provided to MTE))

ANNEX 5. CO-FINANCING TABLE

Co-financing (Type/Source)	Grants (GEF)		UNDP (US\$)		GIZ (US\$)			GM (US\$)		Governments		Total in US\$	
	Planned 2010-2011	Actual 01.09.2011	Planned 2010-2011	Actual 01.09.2011	Planned*** 2010-2011	Actual (euro/US\$)** 29.08.2011		Planned 2010-2011	Actual 01.09.2011	Planned 2010-2011	Actual 2010-2011	Planned 2010-2011	Actual 2010-2011
Grants	2142246	1496594	375610	127187		80644	109678	15450	7 667			2533306	1741126
In-kind support			945500	525278		405188	551056	284550	118562	600000	650000	1830050	1661210
Other (*)			596000	331111								596000	331111
TOTAL	2142246	1496594	1917110	983576	500000	485832	660734	300000	126229	600000	650000	2817110/ 5459356	3917133

*Parallel financing

**Exchange rate 1 euro – \$ 1.36

***Planned amount is not distinguished by types

Annex 5 Rate Tables

(Tables 5.2-5.6 following are in support of this overall rate table)

Table 5.1: Summary Status of objective / outcome delivery as per measurable indicators

OBJECTIVE	MEASURABLE INDICATORS FROM PROJECT LOGFRAME	END-OF-PROJECT TARGET	STATUS OF DELIVERY*	RATING*
Objective : Project Objective: <i>Proposal 1:</i> <i>Increased capacity at the national and cross-country levels to develop and implement an integrated approach and strategies to combat land degradation within operational National Programming Framework.</i>	Overall change in national-level status of compulsory indicators for system, institution, and individual indicators as measured by a capacity building scorecard	Demonstrated increase in at least one level for all scorecard areas and criteria. Compulsory indicators to be compared at multi-country level and nation-specific indicators for core skill areas. Capacity Building Scorecard agreed upon by MSEC and NSECs by Q2. Scorecard approach incorporated into CACILM M+E System with base line established by Q4 with monitoring through Q12.		MU
	The number of long range Capacity Building Strategies approved and in-force	5 National Capacity Building Action Plans approved by NCCs by Q10, Adoption as part of NPF by Q12. A Capacity Building working group formed by Q2 Capacity needs assessment process completed by Q8		MS
OUTCOMES	MEASURABLE INDICATORS FROM PROJECT LOGFRAME	END-OF-PROJECT TARGET	STATUS OF DELIVERY	RATING
Outcome 1: Enhanced policy coherence thru mainstreaming of SLM principles into national policies and legislation.	The amount of funds dedicated to cost sharing by national governments to support an updated inter-governmental structure.	100% of recurrent costs of management of the structure shared by National governments by Q12. (1) An updated intergovernmental agreement to provide official status to Sustainable Land Management (1) A confirmed intergovernmental structure to promote sustainable land management at the multi-country and (5) national levels by Q12		MU
	The number of NCCs with updated organizational roles in relation to defined	5 NCCs have re-defined		MS

	functions in policy, finance, and capacity building actions.			
	Number of ratified action plans for policy development and improvement	5 actions plans ratified for policy development and improvement by Q6 Policy recommendations approved by NCC by Q8.		MS
	% increase in awareness of importance of SLM and Collaborative Resource Management approaches in enabling the development needs of different sectors and stakeholder groups to be met.	High level (>80%) of responses to awareness survey by State level and oblast level agencies demonstrate awareness by Q12. Information materials and knowledge building activities developed that respond to the needs of decision-makers, who range from national to local –level authorities by Q8.		MS
Outcome 2: Resources Effectively Mobilized to support SLM initiatives	The amount of new national funding commitment for SLM above the baseline yr. 2008. Baseline to be defined by project	Determination of baseline financial flows to SLM by Q4. Increase in baseline financial flows by 20% by Q12		S
	The number of persons in each country qualified to develop Integrated Financing Strategies	Development of training modules for IFS by Q 4 250 persons trained in IFS methodology (50 per country) by Q8		S
	The number of Integrated Financing Strategies approved by NCC and other governmental representatives	5 integrated financing strategies ratified by NCC and appropriate national authorities by Q10.		MS
Outcome 3: Improved interaction between state agencies and land users through human resource development	The number of Capacity Building Strategies approved by NCC	5 Capacity Building Strategies approved by NCC A Capacity Building working group formed by Q2 Capacity needs assessment process completed by Q6 A completed draft HRD strategy by Q8 Ratification by NCC by Q10		MU

	The number of Communication and coordination action plans approved and under implementation	5 Communication and coordination action plans One National Forum implemented in each country by Q4 A Communications Action plan drafted by and approved by the NCC by Q5.		MU
	The number of people trained in improved communication and coordination under Collaborative SLM modular training program	Total of 1,250 persons trained in 3 modular training programs (collaborative land-use planning, Designing Integrated Financing Strategies, Participatory SLM Project Design Basics) developed by Q5 10 trainers/ country trained by Q5		MS
Outcome 4: Learning, dissemination and replication of best practices in collaborative SLM developed and strengthened	The number of learning networks established and functioning to support SLM	5 National-level learning networks to support SLM learning established by diverse stakeholder groups by Q4.		MS
	The number of learning events implemented to support exchange of learning and showcase learning tools	5 learning events (one per country) implemented by the end of 2010.		MS
	Number of recommendation adopted by Policy makers in each country and /or number of replication of lessons learned from pilot projects.	5 recommendations and 3 replications Initial scoping of good practices/ results by Q4 2 nd National forum selects from projects and initiatives best practices for up-scaling and/or replication by Q10 NCC deliberations select at least one recommendation for up-scaling and assignment of responsibilities by Q 12.		MS

* *Status of delivery coloring codes:*

Green / completed – indicator shows successful achievement

Yellow – indicator shows expected completion by the end of the project

Red – Indicator show poor achievement - unlikely to be complete by end of Project

Outcomes and the whole project should be rated as follows for relevance, effectiveness, efficiency:

- *Highly Satisfactory (HS):* The project has no shortcomings in the achievement of its objectives.

- *Satisfactory (S)*: The project has minor shortcomings in the achievement of its objectives.
- *Marginally Satisfactory (MS)*: The project has moderate shortcomings in the achievement of its objectives.
- *Marginally Unsatisfactory (MU)*: The project has significant shortcomings in the achievement of its objectives.
- *Unsatisfactory (U)*: The project has major shortcomings in the achievement of its objectives.
- *Highly Unsatisfactory (HU)*: The project has severe shortcomings in the achievement of its objectives.

ANNEX 5.0 – RATE TABLES (REGIONAL)

Table 5.2: Status of planned activities and achieved results supporting overall rating table (table 5.1)

OBJECTIVE	OUTPUTS, PLANNED ACTIVITIES AND ACTIONS	MAIN ACHIEVEMENTS	TIME FRAME	RATING*
Objective : Project Objective: <i>Proposal 1: Increased capacity at the national and cross-country levels to develop and implement an integrated approach and strategies to combat land degradation within operational National Programming Framework.</i>	Overall change in national-level status of compulsory indicators for system, institution, and individual indicators as measured by a capacity building scorecard	-For adapting an existing UNDP-GEF Resource Kit “Monitoring, Evaluation & Reporting for Sustainable Land Management in LDC & SIDS Countries” to the conditions in Central Asia and CACILM the regional short term expert was hired by GTZ. The draft M&E Resource Kit is under discussion with CACILM MSEC. The SLM M&E Scorecard approach based on developed M&E Resource Kit will be incorporated into CACILM MSEC and NSEC M&E System in 2011		MU
	The number of long range Capacity Building Strategies approved and in-force	-For development of Capacity Building Scorecard the regional short term expert was hired by GTZ. The draft Capacity Building Scorecard is under discussion with CACILM MSEC. Recommendations to revise NAP were proposed (TUK) Report on capacity need assessment has been prepared and drafts of Long-term and Short-term strategies have been discussed with stakeholders; System analysis for determination administrative policy, legal and financial subsystem required for fulfilling of NPF has been carried out (UZ).		MS
Outcome 1: Enhanced policy coherence thru mainstreaming of SLM principles into national policies and legislation.	Activity 1.1. A strengthened inter-governmental structure to support SLM.	The MOU between UNDP Tajikistan and the Committee for Environmental Protection on establishment of the MCB Tajikistan national project office signed; Memorandum of Understanding between MNP and UNDP Turkmenistan was signed.	Q1, 2011	MU
	Activity 1.2. Fortified CACILM national-level structures and mechanism to support policy development and mainstreaming.	-MSEC and NSECs in Kazakhstan, Tajikistan and Uzbekistan are in place. Technical assistance is being provided to the MSEC and NSECs in Kazakhstan and Uzbekistan or equivalents for strategic and operational planning by development of the updated Logframes and Annual work plans for 2010. --Technical assistance is being provided to the NSECs in	Q2, 2011	MS

		<p>Kazakhstan and Uzbekistan for updating the roles and responsibilities by development of the updated NSEC Regulations. New Regulations, Logframe and Annual work plan for 2010 of NSEC in Uzbekistan was approved by ACG meeting.</p> <p>Recommendations on updating of organizational functions of NCC have been developed. Workshop on updating functions of NCC convened and new functioned agreed (UZ);</p> <p>Relations with the Jogorku Kenesh representative to promote SLM principles into the National policy established;</p> <p>The draft Log frame and Annual work plan 2011 for CACILM Nsec in Tajikistan drafted with assistance of the MCB project;</p> <p>The National institute of desert, flora and fauna in Turkmenistan provided the office space for the MCB project Turkmenistan national team;</p>		
	Activity 1.3. Approved strategy for enabling policy, legislative, and incentive structures to mainstream SLM and operationalize innovative financing.	<p>-Technical assistance is being provided to the Ministry of Agriculture of the Kyrgyz Republic for drafting the National programme on soil conservation by facilitating development of the concept paper and drafting of the national programme in Kyrgyzstan. A recommendation for the law on “Pasture management” was developed by the policy-legislature working group initiated and facilitated by the project in Kyrgyzstan.</p> <p>Technical assistance is being provided to the Ministry of Environmental Protection of the Republic of Kazakhstan for including SLM issues for discussion during the Council for Sustainable Development under chairmanship of the Prime Minister of the Republic of Kazakhstan. As the result the SLM issues were discussed on high political level in Kazakhstan.</p>	Q4, 2011	MS
	Activity 1.4. Awareness of decision-makers of SLM goals, objectives and principles increased to facilitate mainstreaming of policies.	<p>-Articles about best practices for SLM in the magazine (circulation 3000) and newspaper (circulation 15000) were published in Kazakhstan. Article about national workshop “Designing Integrated Financial Strategies” in Turkmenistan was published at UNDP Turkmenistan .</p> <p>-Two site visits to Talas and Issyk-Kul areas for the Policy-legislature working group members to meet with the pasture committees and discuss the main issues on pasture management and implementation of the law on “Pasture management” in Kyrgyzstan. Field trip to raise awareness of ACG members and representatives of relevant SLM projects on best practices in the area of sustainable land and water management has been conducted in Uzbekistan. Participation of representative of Cabinet of Ministers in Training on Combating Desertification was organized in</p>	Q1, 2011	MS

		Uzbekistan.		
Outcome 2: Resources Effectively Mobilized to support SLM initiatives	Activity 2.1. Five national multi-stakeholder working groups are established replete with knowledge, skills, and tools for developing	- 36 trainers were trained in the methodology of Integrated Financial Strategy by a regional 5-days ToT workshop “Designing Integrated Financial Strategies” (Kyrgyzstan, September-October 2010). 129 experts trained in the methodology of Integrated Financial Strategy by 4 National 5-days workshops “Designing Integrated Financial Strategies” (Kazakhstan, December 2010 (31), Tajikistan, November 2010 (45), Turkmenistan, November-December 2010 (26) and Uzbekistan, December 2010 (27)). -National short term experts have determined the baseline financial flows to SLM in Kazakhstan, Tajikistan, Turkmenistan and Uzbekistan.	Q4, 2011	S
	Activity 2.2. Five Integrated Financing Strategies drafted and endorsed by national stakeholders.	Training modules for Development of the Integrated Financial Strategies adapted on national levels in Kazakhstan, Tajikistan, Turkmenistan and Uzbekistan Drafts of IFS has been drafted or are in process in all 5 countries	Q3, 2011	S
	Activity 2.3: Five SLM Integrated Investment Programs Developed	Reports indicated that this problem has not been developed as planned in AWP	Q4, 2011	MU
	Activity 2.4. Five National Integrated Financing Strategies approved for implementation	Will be completed in last half of project	Q4, 2011	S
Outcome 3: Improved interaction between state agencies and land users through human resource development	Activity 3.1. A national-level, long-term SLM Capacity Building Program approved and realised.	Institutional capacity in SLM was assessed by national short term experts in Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan and some recommendations to address the SLM issues by the government structures are being made. Long term and Short term SLM Capacity Building Strategies were drafted in Turkmenistan. The drafts were sent to relevant stakeholders for reviewing and comments. The expert on developing of the short and long-term HRD and capacity Building Programs has been recruited (KZ); A meeting of the national working group for discussion of the proposal	Q4, 2011	MS

		and recommendations for development of the national long-term SLM Capacity Building Programme was conducted (TUK);		
	Activity 3.2. Approved Mechanisms for enhanced communication and coordination between state agencies and land users.	A field visit to Farish region for members of CACILM National Coordination Council conducted (UZ); The mechanism of preparing and attracting forces and funds to extinguish large landscape fires is developed. 54 experts trained in the use of development mechanism by a national training (KZ); A meeting of the national working group on development the mechanisms for enhanced communication and coordination between the public agencies and land users was conducted (TUK);	Q2,2011	MU
	Activity 3.3. Modular training programmes designed and successfully implemented for professionals in state organisations and NGOs to practise a collaborative approach in SLM.	Training modules for Development of the Integrated Financial Strategies adapted on national levels in Kazakhstan, Tajikistan, Turkmenistan and Uzbekistan. Outlines of the training module for the joint natural resources management facilitators are developed. 14 experts improved skills and knowledge on the joint natural resources management by a national training (KYR).	Q4, 2011	MS
Outcome 4: Learning, dissemination and replication of best practices in collaborative SLM developed and strengthened	Activity 4.1. National Learning Network on best practices in collaborative SLM established and functioning.	-4 Jamoat Resource Centres are mobilized, functioning and equipped with the necessary skills in Tajikistan. In 2011 Jamoat Resource Centres will be participating in up scaling and replication of good practices in collaborative SLM. Working meeting on identification of SLM best practices has been hold (UZ); National workshop on best practices in the development of pastures was conducted (KZ); Current networks were learned and assessed for the capacity of knowledge and information distribution (KYR); Meeting of the national working group on learning programme and dissemination of best practices for discussion of the analysis of the current learning programmes and learning needs (with reference to different aspects of SLM and learning groups) was conducted (TUK)	Q4, 2011	MS

	Activity 4.2. Learning and dissemination of best practices in SLM enhanced and strengthened among all relevant stakeholders.	<p>- 2-days Regional workshop on sustainable management of pastures was conducted in Kazakhstan (60 participants). 2 teaching materials for higher education “Sustainable Forest Management” and “Sustainable Management and Use of Medicinal Herbs” were developed and presented at 4 universities in Kyrgyzstan.</p> <p>-The first workshop of the Community radio and a Community radio training to improve skills on interviewing and developing radio programmes in Kyrgyzstan.</p> <p>Booklet on best practices are designed and provided to UNDP country office for approval (TUK);</p> <p>SLM best practices were identified during the National working meeting on WOCAT(TAJ);</p>	Q4, 2011	S
	Activity 4.3. Effective system of up scaling and replication of good practices in collaborative SLM on national and regional level established and functional.	<p>The Consultative network on up scaling and replication of good practices in collaborative SLM has been established in Tajikistan in the cooperation with Gissar Biodiversity project.</p> <p>Regional Study tour on Degraded Land Management in the Dry Ecosystems for ACG members has been conducted to China (November 2010, 3 participants from Kazakhstan and 4 participants from Tajikistan).</p> <p>Four community radio staff members increased capacity in the field of developing radio programmes in Suusamy (KYR);</p> <p>Pasture management study tour to Kyrgyzstan in July 2011 is initiated (KZ);</p>	Q4, 2011	MS

Outcomes and the whole project should be rated as follows for relevance, effectiveness, efficiency:

- *Highly Satisfactory (HS)*: The project has no shortcomings in the achievement of its objectives.
- *Satisfactory (S)*: The project has minor shortcomings in the achievement of its objectives.
- *Marginally Satisfactory (MS)*: The project has moderate shortcomings in the achievement of its objectives.
- *Marginally Unsatisfactory (MU)*: The project has significant shortcomings in the achievement of its objectives.
- *Unsatisfactory (U)*: The project has major shortcomings in the achievement of its objectives.
- *Highly Unsatisfactory (HU)*: The project has severe shortcomings in the achievement of its objectives.

ANNEX 5 – RATE TABLES (KYR)

Table 5.3: Status of planned activities and achieved results (supporting Table 5.2)

OBJECTIVE	OUTPUTS, PLANNED ACTIVITIES AND ACTIONS	MAIN ACHIEVEMENTS	TIME FRAME	RATING*
Objective : Project Objective: <i>Proposal 1:</i> <i>Increased capacity at the national and cross-country levels to develop and implement an integrated approach and strategies to combat land degradation within operational National Programming Framework.</i>	Overall change in national-level status of compulsory indicators for system, institution, and individual indicators as measured by a capacity building scorecard	No evidence of any activity in reports		MU
	The number of long range Capacity Building Strategies approved and in-force	No evidence of any activity in reports		MU
Outcome 1: Enhanced policy coherence thru mainstreaming of SLM principles into national policies and legislation.	Activity 1.1. A strengthened inter-governmental structure to support SLM.	No evidence of any activity in reports	Q1, 2011	MU
	Activity 1.2. Fortified CACILM national-level structures and mechanism to support policy development and mainstreaming.	Relations with the Jogorku Kenesh representative to promote SLM principles into the National policy established; Cooperation with the Committee of Jogorku Kenesh on agrarian, environmental, water resources and strategic development issues is officially established;	Q2, 2011	S

	Activity 1.3. Approved strategy for enabling policy, legislative, and incentive structures to mainstream SLM and operationalize innovative financing.	SLM principles are promoted into the Country Development Strategy for 2012-2014; A policy-legislation working group developed a set of recommendations for the law “On pasture” and submitted to the Committee of Jogorku Kenesh on agrarian, environmental, water resources and strategic development issues; An institutional capacity in SLM was assessed and a consultant made some recommendations on the structure in the government to address the issues of SLM.	Q4, 2011	S
	Activity 1.4. Awareness of decision-makers of SLM goals, objectives and principles increased to facilitate mainstreaming of policies.	Members of the policy-legislation working group improved knowledge and skills in gender issues and types of legislative expertise on: gender, environmental and anti-corruption;	Q1, 2011	MS
Outcome 2: Resources Effectively Mobilized to support SLM initiatives	Activity 2.1. Five national multi-stakeholder working groups are established replete with knowledge, skills, and tools for developing	50 experts trained in Integrated Financing Strategy methodology by a national workshop; A finance-policy working group led by the Ministry of Economic Regulations is established to develop IFS;	Q4, 2011	S
	Activity 2.2. Five Integrated Financing Strategies drafted and endorsed by national stakeholders.	The first IFS draft is developed and discussed within the working group;	Q3, 2011	S
	Activity 2.3: Five SLM Integrated Investment Programs Developed	No evidence of any activity in reports	Q4, 2011	MU
	Activity 2.4. Five National Integrated Financing Strategies approved for implementation	Approval of IFS in a process	Q4, 2011	MS
Outcome 3: Improved interaction between state agencies and land users through human resource development	Activity 3.1. A national-level, long-term SLM Capacity Building Program approved and realised.	No evidence of any activity in reports	Q4, 2011	MU

	Activity 3.2. Approved Mechanisms for enhanced communication and coordination between state agencies and land users.	No evidence of any activity in reports	Q2,2011	MU
	Activity 3.3. Modular training programmes designed and successfully implemented for professionals in state organisations and NGOs to practise a collaborative approach in SLM.	Outlines of the training module for the joint natural resources management facilitators are developed. 14 experts improved skills and knowledge on the joint natural resources management by a national training.	Q4, 2011	MS
Outcome 4: Learning, dissemination and replication of best practices in collaborative SLM developed and strengthened	Activity 4.1. National Learning Network on best practices in collaborative SLM established and functioning.	Current networks were learned and assessed for the capacity of knowledge and information distribution. As a result more than 60 organizations were identified and 40 were selected to invite to the network workshop.	Q4, 2011	MS
	Activity 4.2. Learning and dissemination of best practices in SLM enhanced and strengthened among all relevant stakeholders.	6 priority SLM best practices were selected during the National working meeting on WOCAT. Documentation of 4 SLM BPs initiated;	Q4, 2011	MS
	Activity 4.3. Effective system of up scaling and replication of good practices in collaborative SLM on national and regional level established and functional.	Four community radio staff members increased capacity in the field of developing radio programmes in Suusamyr;	Q4, 2011	MS

Outcomes and the whole project should be rated as follows for relevance, effectiveness, efficiency:

- *Highly Satisfactory (HS)*: The project has no shortcomings in the achievement of its objectives.
- *Satisfactory (S)*: The project has minor shortcomings in the achievement of its objectives.
- *Marginally Satisfactory (MS)*: The project has moderate shortcomings in the achievement of its objectives.
- *Marginally Unsatisfactory (MU)*: The project has significant shortcomings in the achievement of its objectives.
- *Unsatisfactory (U)*: The project has major shortcomings in the achievement of its objectives.
- *Highly Unsatisfactory (HU)*: The project has severe shortcomings in the achievement of its objectives.

ANNEX 5 – RATE TABLES (KZ)

Table 5.4: Status of planed activities and achieved results (supporting Table 5.2)

OBJECTIVE	OUTPUTS, PLANNED ACTIVITIES AND ACTIONS	MAIN ACHIEVEMENTS	TIME FRAME	RATING*
Objective : Project Objective: <i>Proposal 1:</i> <i>Increased capacity at the national and cross-country levels to develop and implement an integrated approach and strategies to combat land degradation with in operational National Programming Framework.</i>	Overall change in national-level status of compulsory indicators for system, institution, and individual indicators as measured by a capacity building scorecard	No evidence of any activity in reports		MU
	The number of long range Capacity Building Strategies approved and in-force	National consultant on Knowledge, Attitude and Practical Survey has been recruited. Draft of report prepared Capacity Building Unit is formed;		MS
Outcome 1: Enhanced policy coherence thru mainstreaming of SLM principles into national policies and legislation.	Activity 1.1. A strengthened inter-governmental structure to support SLM.	Issues of SLM are discussed on a high political level – “Session of the Council on sustainable development” in the Government of Kazakhstan;	Q1, 2011	MU
	Activity 1.2. Fortified CACILM national-level structures and mechanism to support policy development and mainstreaming.	Draft of Order and Statute of ACG CACILM is developed; Support to NCC Head in preparation of the 4-th report to UNCCD was provided.	Q2, 2011	MS
	Activity 1.3. Approved strategy for enabling policy, legislative, and incentive structures to mainstream SLM and operationalize innovative financing.	Two proposals to the national “Green Grows” strategy accepted by Council on sustainable Development under the Government of Kazakhstan	Q4, 2011	MS

	Activity 1.4. Awareness of decision-makers of SLM goals, objectives and principles increased to facilitate mainstreaming of policies.	Articles on best practices in magazine and newspaper were published	Q1, 2011	MS
Outcome 2: Resources Effectively Mobilized to support SLM initiatives	Activity 2.1. Five national multi-stakeholder working groups are established replete with knowledge, skills, and tools for developing	National IFS workshop conducted	Q4, 2011	S
	Activity 2.2. Five Integrated Financing Strategies drafted and endorsed by national stakeholders.	National IFS drafted	Q3, 2011	S
	Activity 2.3: Five SLM Integrated Investment Programs Developed	No evidence of any activity in reports	Q4, 2011	MU
	Activity 2.4. Five National Integrated Financing Strategies approved for implementation	Approval of the IFS in a process	Q4, 2011	MS
Outcome 3: Improved interaction between state agencies and land-users through human resource development	Activity 3.1. A national-level, long-term SLM Capacity Building Program approved and realised.	The expert on developing of the short and long-term HRD and capacity Building Programs has been recruited;	Q4, 2011	MS
	Activity 3.2. Approved Mechanisms for enhanced communication and coordination between state agencies and land users.	The mechanism of preparing and attracting forces and funds to extinguish large landscape fires is developed. 54 experts trained in the use of development mechanism by a national training;	Q2,2011	MU
	Activity 3.3. Modular training programmes designed and successfully implemented for professionals in state organisations and NGOs to practise a collaborative approach in SLM.	The national consultant on Modular training program has been recruited;	Q4, 2011	MS

Outcome 4: Learning, dissemination and replication of best practices in collaborative SLM developed and strengthened	Activity 4.1. National Learning Network on best practices in collaborative SLM established and functioning.	National workshop on best practices in the development of pastures was conducted;	Q4, 2011	MS
	Activity 4.2. Learning and dissemination of best practices in SLM enhanced and strengthened among all relevant stakeholders.	4 priority SLM best practices were identified during the National working meeting on WOCAT. Documentation of SLM BPs initiated.	Q4, 2011	MS
	Activity 4.3. Effective system of up scaling and replication of good practices in collaborative SLM on national and regional level established and functional.	Pasture management study tour to Kyrgyzstan in July 2011 is initiated; Study tour to China on DLM in the Dry Ecosystem for NCC members has been organized;	Q4, 2011	MS

Outcomes and the whole project should be rated as follows for relevance, effectiveness, efficiency:

- *Highly Satisfactory (HS)*: The project has no shortcomings in the achievement of its objectives.
- *Satisfactory (S)*: The project has minor shortcomings in the achievement of its objectives.
- *Marginally Satisfactory (MS)*: The project has moderate shortcomings in the achievement of its objectives.
- *Marginally Unsatisfactory (MU)*: The project has significant shortcomings in the achievement of its objectives.
- *Unsatisfactory (U)*: The project has major shortcomings in the achievement of its objectives.
- *Highly Unsatisfactory (HU)*: The project has severe shortcomings in the achievement of its objectives.

ANNEX 5 – RATE TABLES (TAJ)

Table: 5.5 Status of planned activities and achieved results (supporting Table 5.2)

OBJECTIVE	OUTPUTS, PLANNED ACTIVITIES AND ACTIONS	MAIN ACHIEVEMENTS	TIME FRAME	RATING*
Objective : Project Objective: <i>Proposal 1:</i> <i>Increased capacity at the national and cross-country levels to develop and implement an integrated approach and strategies to combat land degradation within operational National Programming Framework.</i>	Overall change in national-level status of compulsory indicators for system, institution, and individual indicators as measured by a capacity building scorecard	No evidence of any activity in reports		MU
	The number of long range Capacity Building Strategies approved and in-force	The project has hired 7 different consultants to conduct a sort of baseline survey.		MS
Outcome 1: Enhanced policy coherence thru mainstreaming of SLM principles into national policies and legislation.	Activity 1.1. A strengthened inter-governmental structure to support SLM.	The MOU between UNDP Tajikistan and the Committee for Environmental Protection on establishment of the MCB Tajikistan national project office signed;	Q1, 2011	MU
	Activity 1.2. Fortified CACILM national-level structures and mechanism to support policy development and mainstreaming.	The draft Log frame and Annual work plan 2011 for CACILM Nsec in Tajikistan drafted with assistance of the MCB project;	Q2, 2011	MS
	Activity 1.3. Approved strategy for enabling policy, legislative, and incentive structures to mainstream SLM and operationalize innovative financing.	The Parliamentary legislation working group on Pasture management issues has been established and endorsed by the Parliament of Tajikistan; The Forest Code of the Republic of Tajikistan has been revised and on June 15, 2011 it has been enacted by the lower chamber of the Parliament of Republic of Tajikistan; Cooperation with the Committee for Environmental Protection on developing draft of law “On Hunting” initiated; The first draft of the law “On Pastures” has been prepared and submitted	Q4, 2011	MS

		to the Parliamentary legislation working group;		
	Activity 1.4. Awareness of decision-makers of SLM goals, objectives and principles increased to facilitate mainstreaming of policies.	The public hearing on implementation of SLM principles into the legal strategic documents conducted; A brochure on “Land degradation in Tajikistan and the ways to address it” published; 77 representatives of the key state stakeholders participated in the national and international workshops, symposiums and conferences on forest and pasture resources management for enhancing the SLM principles; The International conference “Pasture in Tajikistan, Situations and Perspectives” conducted in cooperation with the Asian Development Bank (28-30 June 2011); A short movie on land degradation and pastures of Tajikistan developed; The knowledge of the stakeholders on UNCCD increased through translation of the UNCCD text into Tajik Language.	Q1, 2011	S
Outcome 2: Resources Effectively Mobilized to support SLM initiatives	Activity 2.1. Five national multi-stakeholder working groups are established replete with knowledge, skills, and tools for developing	IFS development is initiated. 7 State Stakeholders are expressed their willingness to support Integrated Financing Strategy; The finance working group is established and identified impact area sphere, priorities, objectives, methods, elements and approach of the national IFS.	Q4, 2011	MS
	Activity 2.2. Five Integrated Financing Strategies drafted and endorsed by national stakeholders.	The IFS program and action plan is drafted	Q3, 2011	S
	Activity 2.3: Five SLM Integrated Investment Programs Developed	No evidence of any activity in reports	Q4, 2011	MU
	Activity 2.4. Five National Integrated Financing Strategies approved for implementation	Approval of IFS in a process	Q4, 2011	S
Outcome 3: Improved interaction between state agencies and land users through human resource development	Activity 3.1. A national-level, long-term SLM Capacity Building Program approved and realised.	Assessment of institutional framework in the field of SLM	Q4, 2011	MS

	Activity 3.2. Approved Mechanisms for enhanced communication and coordination between state agencies and land users.	A community awareness campaign with the slogan “The slopes of my village” conducted in cooperation with the Committee for Environmental Protection. Forest and fruit trees were planted in the area of 1 hectare dedicated to the World Earth day;	Q2,2011	MS
	Activity 3.3. Modular training programmes designed and success fully implemented for professionals in state organisations and NGOs to practise a collaborative approach in SLM.	No evidence of any activity in reports	Q4, 2011	MU
Outcome 4: Learning, dissemination and replication of best practices in collaborative SLM developed and strengthened	Activity 4.1. National Learning Network on best practices in collaborative SLM established and functioning.	The Consultative network is established in the cooperation with Gissar Biodiversity project.	Q4, 2011	S
	Activity 4.2. Learning and dissemination of best practices in SLM enhanced and strengthened among all relevant stakeholders.	Documentation of SLM BPs initiated;6 SLM best practices were documented and uploaded into the WOCAT online database; 3 other priority SLM best practices were identified during the National working meeting on WOCAT.	Q4, 2011	S
	Activity 4.3. Effective system of up scaling and replication of good practices in collaborative SLM on national and regional level established and functional.	The MOU with the four target Jamoat Resource Centers for community mobilization and awareness raising activities signed; The JRCs being equipped with the necessary skills on cooperation at the multilateral levels	Q4, 2011	MS

Outcomes and the whole project should be rated as follows for relevance, effectiveness, efficiency:

- *Highly Satisfactory (HS)*: The project has no shortcomings in the achievement of its objectives.
- *Satisfactory (S)*: The project has minor shortcomings in the achievement of its objectives.
- *Marginally Satisfactory (MS)*: The project has moderate shortcomings in the achievement of its objectives.
- *Marginally Unsatisfactory (MU)*: The project has significant shortcomings in the achievement of its objectives.
- *Unsatisfactory (U)*: The project has major shortcomings in the achievement of its objectives.
- *Highly Unsatisfactory (HU)*: The project has severe shortcomings in the achievement of its objectives.

ANNEX 5 – RATE TABLES (TUK)

Table: 5.6 Status of planned activities and achieved results (supporting Table 5.2)

OBJECTIVE	OUTPUTS, PLANNED ACTIVITIES AND ACTIONS	MAIN ACHIEVEMENTS	TIME FRAME	RATING*
Objective : Project Objective: <i>Proposal 1:</i> <i>Increased capacity at the national and cross-country levels to develop and implement an integrated approach and strategies to combat land degradation within operational National Programming Framework.</i>	Overall change in national-level status of compulsory indicators for system, institution, and individual indicators as measured by a capacity building scorecard	No evidence of any activity in reports		MU
	The number of long range Capacity Building Strategies approved and in-force	Identification of policy, legal and financial mechanisms in the area of SLM for the National Programming Framework initiated; The first and the second meetings of the expert working group for discussion of the draft of NAP were conducted; Recommendations for Draft National Programming Framework were developed;		MS
Outcome 1: Enhanced policy coherence thru mainstreaming of SLM principles into national policies and legislation.	Activity 1.1. A strengthened inter-governmental structure to support SLM.	No evidence of any activity in reports	Q1, 2011	MU
	Activity 1.2. Fortified CACILM national-level structures and mechanism to support policy development and mainstreaming.	The National institute of desert, flora and fauna in Turkmenistan provided the office space for the MCB project Turkmenistan national team; Memorandum of Understanding between MNP and UNDP Turkmenistan was signed.	Q2, 2011	MS
	Activity 1.3. Approved strategy for enabling policy, legislative, and incentive structures to mainstream SLM and operationalize innovative financing.	The first and the second meeting meetings for discussion of the draft Strategy on improvement of legislation and promotion mechanisms in the area of SLM were conducted; About eighteen offers and additions improvement of legislative and finance attainments for transfer to the stakeholders have been prepared	Q4, 2011	MS

	Activity 1.4. Awareness of decision-makers of SLM goals, objectives and principles increased to facilitate mainstreaming of policies.	Awareness of decision makers about SLM's goals strengthened through the national inception seminar Printing of the project brochures in Turkmen (1000 copies) and Russian languages (1000 copies)	Q1, 2011	MS
Outcome 2: Resources Effectively Mobilized to support SLM initiatives	Activity 2.1. Five national multi-stakeholder working groups are established replete with knowledge, skills, and tools for developing	National Finance working group under IFS formed and started to work National DIFS workshop organized and conducted	Q4, 2011	MS
	Activity 2.2. Five Integrated Financing Strategies drafted and endorsed by national stakeholders.	Working round tables for development of national IFS conducted	Q3, 2011	MS
	Activity 2.3: Five SLM Integrated Investment Programs Developed	No evidence of any activity in reports	Q4, 2011	MU
	Activity 2.4. Five National Integrated Financing Strategies approved for implementation	No evidence of any activity in reports	Q4, 2011	MU
Outcome 3: Improved interaction between state agencies and land users through human resource development	Activity 3.1. A national-level, long-term SLM Capacity Building Program approved and realised.	A meeting of the national working group for discussion of the proposal and recommendations for development of the national long-term SLM Capacity Building Programme was conducted;	Q4, 2011	MS
	Activity 3.2. Approved Mechanisms for enhanced communication and coordination between state agencies and land users.	A meeting of the national working group on development the mechanisms for enhanced communication and coordination between the public agencies and land users was conducted;	Q2,2011	MS

	Activity 3.3. Modular training programmes designed and successfully implemented for professionals in state organisations and NGOs to practise a collaborative approach in SLM.	Trainings provider and training modules are defined	Q4, 2011	MS
Outcome 4: Learning, dissemination and replication of best practices in collaborative SLM developed and strengthened	Activity 4.1. National Learning Network on best practices in collaborative SLM established and functioning.	Meeting of the national working group on learning programme and dissemination of best practices for discussion of the analysis of the current learning programmes and learning needs (with reference to different aspects of SLM and learning groups) was conducted	Q4, 2011	MS
	Activity 4.2. Learning and dissemination of best practices in SLM enhanced and strengthened among all relevant stakeholders.	8 priority SLM best practices were identified during the National working meeting on WOCAT. Documentation of SLM BPs initiated. Booklet on best practices are designed and provided to UNDP country office for approval	Q4, 2011	S
	Activity 4.3. Effective system of up scaling and replication of good practices in collaborative SLM on national and regional level established and functional.	No evidence of any activity in reports	Q4, 2011	MU

Outcomes and the whole project should be rated as follows for relevance, effectiveness, efficiency:

- *Highly Satisfactory (HS)*: The project has no shortcomings in the achievement of its objectives.
- *Satisfactory (S)*: The project has minor shortcomings in the achievement of its objectives.
- *Marginally Satisfactory (MS)*: The project has moderate shortcomings in the achievement of its objectives.
- *Marginally Unsatisfactory (MU)*: The project has significant shortcomings in the achievement of its objectives.
- *Unsatisfactory (U)*: The project has major shortcomings in the achievement of its objectives.
- *Highly Unsatisfactory (HU)*: The project has severe shortcomings in the achievement of its objectives.

ANNEX 5 – RATE TABLES (UZ)

Table: 5.7 Status of planned activities and achieved results (supporting table 5.2)

OBJECTIVE	OUTPUTS, PLANNED ACTIVITIES AND ACTIONS	MAIN ACHIEVEMENTS	TIME FRAME	RATING*
Objective : Project Objective: <i>Proposal 1:</i> <i>Increased capacity at the national and cross-country levels to develop and implement an integrated approach and strategies to combat land degradation within operational National Programming Framework.</i>	Overall change in national-level status of compulsory indicators for system, institution, and individual indicators as measured by a capacity building scorecard	No evidence of any activity in reports		MU
	The number of long range Capacity Building Strategies approved and in-force	Report on capacity need assessment has been prepared and drafts of Long-term and Short-term strategies have been discussed with stakeholders; System analysis for determination administrative policy, legal and financial subsystem required for fulfilling of NPF has been carried out.		MS
Outcome 1: Enhanced policy coherence thru mainstreaming of SLM principles into national policies and legislation.	Activity 1.1. A strengthened inter-governmental structure to support SLM.	No evidence of any activity in reports	Q1, 2011	MU
	Activity 1.2. Fortified CACILM national-level structures and mechanism to support policy development and mainstreaming.	Recommendations on updating of organizational functions of NCC have been developed; Workshop on updating functions of NCC convened and new functioned agreed;	Q2, 2011	MS
	Activity 1.3. Approved strategy for enabling policy, legislative, and incentive structures to mainstream SLM and operationalize innovative financing.	SLM mainstreaming and assessment of enabling environment in the area of sustainable land management is initiated;	Q4, 2011	MS

	Activity 1.4. Awareness of decision-makers of SLM goals, objectives and principles increased to facilitate mainstreaming of policies.	Information calendar on land degradation, desertification and sustainable land management in the Republic of Uzbekistan and on activities in the scope of the CACILM has been published and distributed among national stakeholders and decision makers; A leaflet with MCB project information published and distributed among national stakeholders and decision makers; A Workshop dedicated to World Day to Combat Desertification has been conducted;	Q1, 2011	MS
Outcome 2: Resources Effectively Mobilized to support SLM initiatives	Activity 2.1. Five national multi-stakeholder working groups are established replete with knowledge, skills, and tools for developing	First Meeting of Working Group on preparation of Integrated Financial Strategy (IFS) has been held;	Q4, 2011	MS
	Activity 2.2. Five Integrated Financing Strategies drafted and endorsed by national stakeholders.	Report on External and Innovative Resources for SLM is developed; First IFS draft is developed;	Q3, 2011	MS
	Activity 2.3: Five SLM Integrated Investment Programs Developed	No evidence of any activity in reports	Q4, 2011	MU
	Activity 2.4. Five National Integrated Financing Strategies approved for implementation	Approval of IFS in a process	Q4, 2011	MS
Outcome 3: Improved interaction between state agencies and land users through human resource development	Activity 3.1. A national-level, long-term SLM Capacity Building Program approved and realised.	Report on capacity need assessment has been prepared and drafts of Long-term and Short-term strategies have been discussed with stakeholders;	Q4, 2011	MS
	Activity 3.2. Approved Mechanisms for enhanced communication and coordination between state agencies and land users.	A field visit to Farish region for members of CACILM National Coordination Council conducted;	Q2,2011	MU

	Activity 3.3. Modular training programmes designed and successfully implemented for professionals in state organisations and NGOs to practise a collaborative approach in SLM.	A practical training on “Global and national environmental issues” for members of Legislative Chamber has been conducted; National training providers were identified	Q4, 2011	MS
Outcome 4: Learning, dissemination and replication of best practices in collaborative SLM developed and strengthened	Activity 4.1. National Learning Network on best practices in collaborative SLM established and functioning.	Working meeting on identification of SLM best practices has been hold	Q4, 2011	MS
	Activity 4.2. Learning and dissemination of best practices in SLM enhanced and strengthened among all relevant stakeholders.	6 priority SLM best practices were identified during the National working meeting on WOCAT. Documentation of SLM BPs initiated.	Q4, 2011	S
	Activity 4.3. Effective system of up scaling and replication of good practices in collaborative SLM on national and regional level established and functional.	Participation of Specialist of the Research Institute of Karakul Breeding and Ecology of desert in International Symposium “Pastoralism in Central Asia” has been ensured;	Q4, 2011	MS

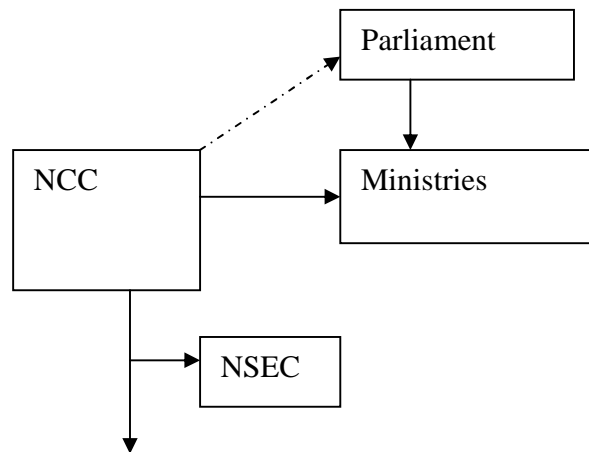
Outcomes and the whole project should be rated as follows for relevance, effectiveness, efficiency:

- *Highly Satisfactory (HS)*: The project has no shortcomings in the achievement of its objectives.
- *Satisfactory (S)*: The project has minor shortcomings in the achievement of its objectives.
- *Marginally Satisfactory (MS)*: The project has moderate shortcomings in the achievement of its objectives.
- *Marginally Unsatisfactory (MU)*: The project has significant shortcomings in the achievement of its objectives.
- *Unsatisfactory (U)*: The project has major shortcomings in the achievement of its objectives.
- *Highly Unsatisfactory (HU)*: The project has severe shortcomings in the achievement of its objectives.

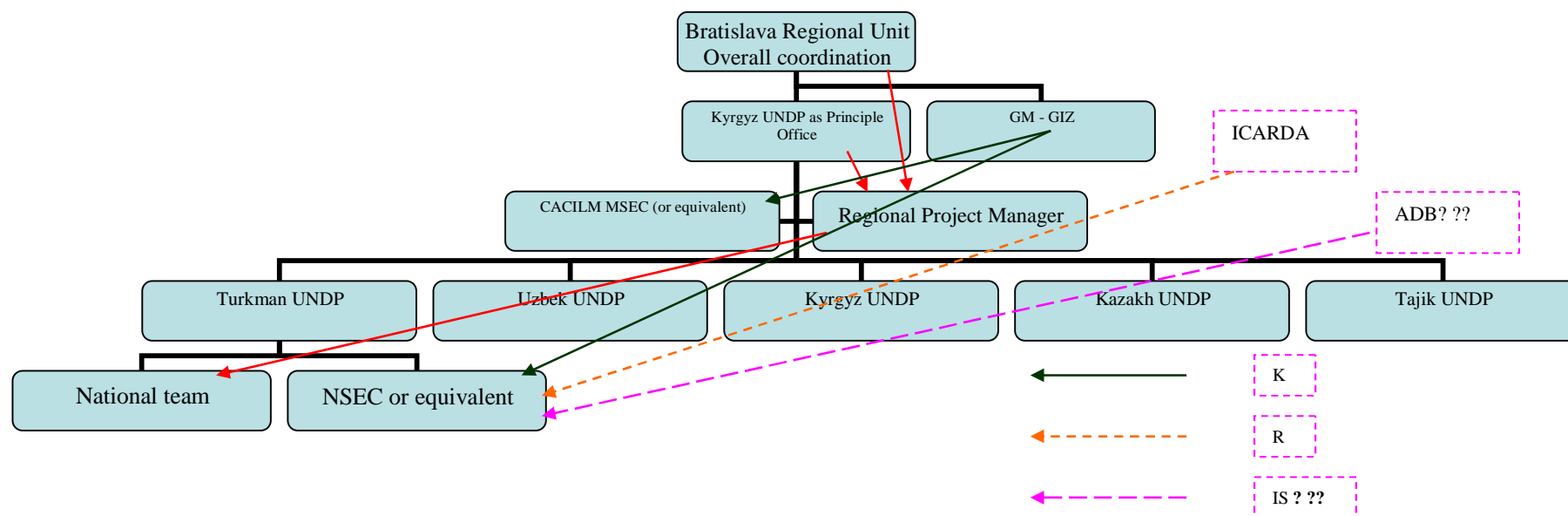
Annex 6 Organization charts and diagrams

(Quite a number of interviewees discussed ideas or made comments on the complex organization of this projects, below are examples)

[Drawn following GIZ Kyrgyz CTA interview to explain how the parliament committee works in Kyrgyz]



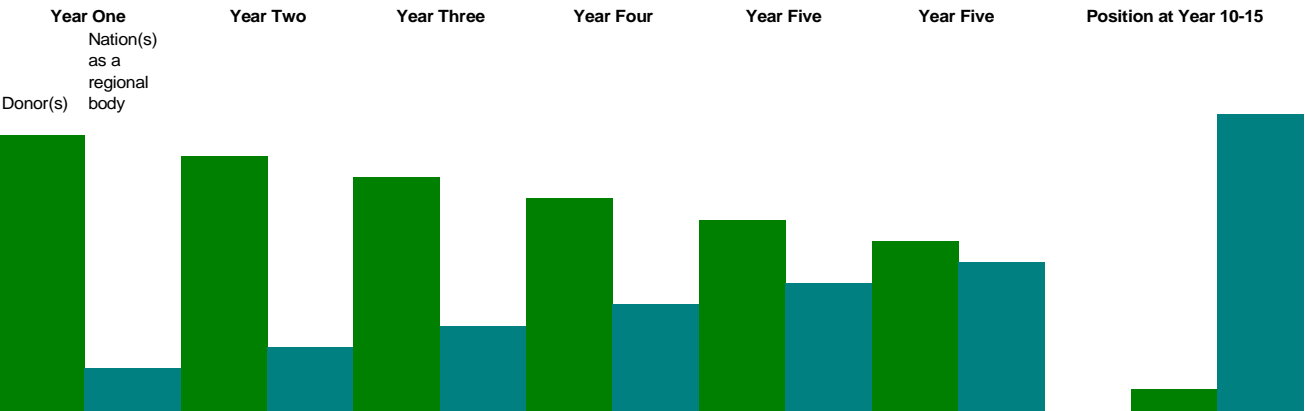
[Drawn to reflect complexity of MCB following discussion with UNCCD Kazakh interview]



[Drawn in discussion with UNCCD focal point Kazakhstan to illustrate sustainable finding model, part answer to question of future directions for MCB remaining period]

Possible funding model with regional agreement and supporting donors (such as SPA)

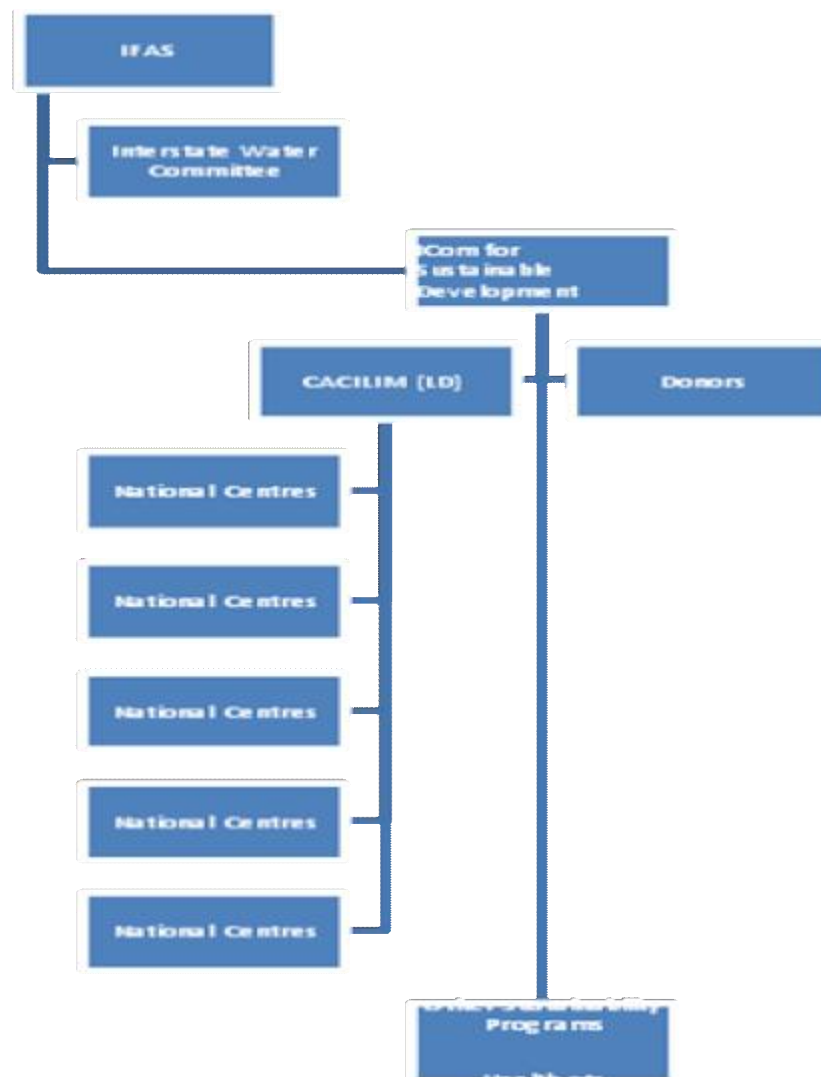
Funding model for gradual transfer or funding responsibility



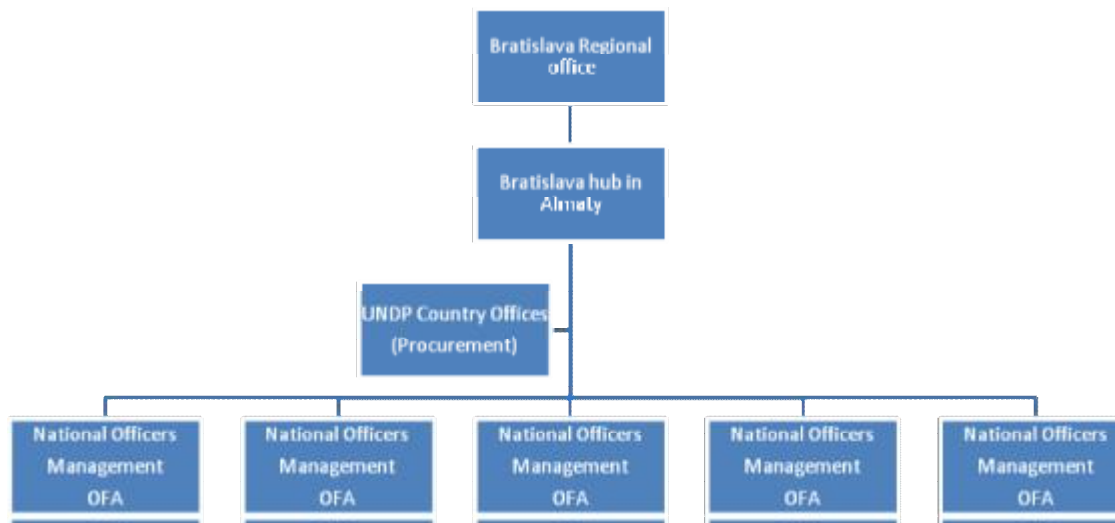
Green is Donor funding
Blue is national funding

Explanation provided. This structure is based on a model from the Mekong River Commission; it took some years to negotiate but was important in achieving donor support over time. In practice different donors had different preferences and timing requirements, but acting as a SPA equivalent they were able to provide confidence of continuity under normal circumstances. Some donors preferred to support particular activities, centers or projects while some were happy to provide core funding over time.

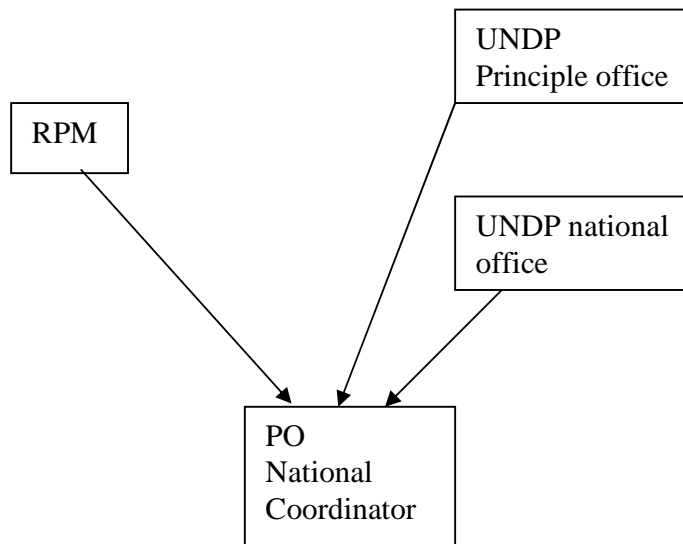
[Drawn to describe Kazakhstan UNCCD focal point idea about locating CACILM within IASF (In part answer to what MCB should focus on over remainder of project period)]



[Drawn to describe organization of UNDP Climate Risk Management Program]



[Drawn following interview with NC Uzbekistan to describe complexity of national project management]



Drawn to describe how UNCCD focal point relates to the National MCB project

