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Independent evaluation of the Country Programme Action Plan (CPAP) 2010 - 2015

*Being the change you wish to see versus
reporting the change you wish to see*



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List of acronyms and abbreviations

ABD	Area-Based Development
ADB	Asian Development Bank
ADR	Assessment of Development Results
AIDS	Acquired Immune Deficiency Syndrome
AWP	Annual Work Plan
CCA	Common Country Assessment
CDM	Clean Development Mechanism
CEDAW	Convention on Elimination of all forms of Discrimination against Women
CO	Country Office
CP	Country Programme
CPAP	Country Programme Action Plan
CPD	Country Programme Document
CSO	Civil Society Organisation
EC	European Commission
ELS	Enhancement of Living Standards
EO	Evaluation Office of UNDP
GDP	Gross Domestic Product
GEF	Global Environment Facility
GFATM	Global Fund for AIDS, Tuberculosis and Malaria
GNI	Gross National Income
GIZ	German agency for international co-operation
HDI	Human Development Index
HIV	Human Immunodeficiency Virus
ICT	Information Communication Technology
IFC	International Finance Corporation
IWRM	Integrated Water Resources Management
JICA	Japanese International Co-operation Agency
KOICA	Korea International Co-operation Agency
MASHAV	Israel International Co-operation Agency
MDGs	Millennium Development Goals
NGO	Non-Governmental Organization
ODA	Official Development Assistance
PRSP	Poverty Reduction Strategy Plan
RBEC	Regional Bureau for Europe and the CIS (Commonwealth of Independent States)
SBAA	Standard Basic Assistance Agreement
SGP	Small Grants Programme
SME	Small and Medium Sized Enterprise
TIKA	Turkish International Co-operation & Development Agency
UN	United Nations
UNCAC	United Nations Convention against Corruption
UNCCCf	United Nations Framework Convention on Climate Change
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UNICEF	United Nations Children Fund
UPR	Universal Periodic Review
WB	World Bank
WHO	World Health Organization
WIS	Welfare Improvement Strategy

Executive summary

This **mid-term evaluation of UNDP Uzbekistan's Country Programme Action Plan (CPAP)** was conducted by a team of one international and three national experts over a period of five weeks in September and October 2013, to assess progress towards six programme outcomes. UNDP has been contributing to these outcomes through **47 projects with a total volume of close to USD 90 million**. The evaluation considered the scope, relevance, efficiency and sustainability of UNDP support. The evaluation team's recommendations are focused on how UNDP and its partners can improve the prospects of achieving the CPAP outcomes through adjusting programming, partnership arrangements, resource mobilization strategies, working methods and management structures. The results of the evaluation are to be used to re-adjust interventions during the remaining period of the current Country Programme and to **guide future programming**.

The assessment is based on a **comprehensive desk review, an online survey (90 responses), site visits and meetings with more than 200 stakeholders**. The evaluation chose a utilization-focused approach. By using a comprehensive set of tools, the evaluation balanced the use of data and desk review sources, and the participatory and consultative approach requested in the Terms of Reference (ToR).

Based on the desk review, the survey, the site visits, and above all the interaction with stakeholders, the evaluation team has concluded that **a clear demand exists for UNDP to build on its reach** at the central, sub-national and local level, on its capacity and expertise, and the trust it has built with partners, to help Uzbekistan make the most of international support.

In line with the new strategic plan at the global level, UNDP in Uzbekistan should increase its capacity for more **integrated, cross-sector policy advice and programming** and to intensify interaction with government and nongovernment counterparts. Thus, there should be fully empowered senior UNDP management both on the programming and the operations side, plus a seasoned adviser on how to accelerate the shift to a programme-based approach and more effective results-based management.

In **Economic Governance**, UNDP's efforts deserve to be scaled up again (especially at the community level and in terms of income generation) and better synergized with each other and beyond. In line with UNDP's mandate and strengths in Uzbekistan, it could do more on aspects of the expected results that are currently less strongly emphasized: Working with counterparts at the sub-national and local level to improve the welfare of vulnerable groups implies defining these vulnerable groups better, engaging with them more directly, and monitoring their welfare more effectively.

The team should combine its projects on the business environment into a more comprehensive approach to reach those most in need of support. **Focusing more explicitly on the most vulnerable** (especially beyond Tashkent), is both in line with international best practice on economic development in advanced transition environments, and is very strongly anchored in the UN human development mandate.

UNDP's work under the **Environment and Energy** component highlights the positive multiplier effects an emphasis on genuinely inclusive partnerships can have on programme design, implementation and reception. The Environment and Energy team can build on the success of its programming since 2010 to promote a more integrated approach to assessments and programming within UNDP and among its partners. This would imply, among others, a concerted initiative to **mainstream the environmental perspective** (including, but not limited to assessments of environmental impact, resilience to climate-change, and disaster risk) throughout all development efforts, including based on the corporate environmental and social screening procedure.

The **Good Governance** component of the CPAP is the most diverse and dynamic; that also makes it less clear and harder to measure than the others. There has been some high-visibility progress, including on **innovative tools in e-government and a number of legislative frameworks**. This component works most closely with the Government; consequently it struggles with some of the very same constraints, including e.g. the absence of a single designated Government agency to lead Public Administration Reform.

The Good Governance team should use the breadth of its portfolio to **reach out within UNDP, the UNCT and among partners** to more consistently utilize the strong cooperation with Government to connect high-level policy and legislative reform with **more advocacy for policy changes and effective implementation at the local level**, especially in public administration and civil service reform. Building on the trust UNDP has built and on its international standing, UNDP Uzbekistan is well placed to continue to lead support to the Government on the implementation of the Universal Periodic Review.

Regarding **cross-cutting issues**, UNDP Uzbekistan has paid a lot of attention to promoting gender equality. Every counterpart emphasized how gender was taken into account in joint efforts. Nonetheless, gender equality has been and remains an issue in Uzbekistan, and UNDP and its partners will continue to have to review how the **underlying patterns and causes of inequality** can better be addressed. The feedback on **UNDP capacity building** has also been very positive, underscoring strong national ownership; more consistent efforts at monitoring effectiveness and sustainability would be particularly useful in this area.

As the UN programme mandated to support the UN Resident Coordinator System, UNDP Uzbekistan should continue to remind UN staff and counterparts of the breadth and depth of the UN mandate on human development. All programmes should work together on building greater awareness and on strengthening the linkages, both internally and externally, especially to promote women's empowerment and the central elements of **human-rights-based human development**.

Existing partners are very positive in their feedback on partnerships, which can be attributed to a strong **emphasis on relationship management in UNDP Uzbekistan projects**; more can be done to make UNDP's partnerships more inclusive and to integrate them more strongly with a programme-based rather than project-focused approach. **Knowledge management tools** (e.g. websites) appear to work well during projects' life cycle, i.e. as long as they are maintained via dedicated UNDP funding, but more can be done to ensure sustainability, including by integrating these tools better, rather having them exist only in relation to individual projects. As such a vital portion of UNDP's contribution is knowledge-based, UNDP Uzbekistan should **ensure the consistent institutionalization of knowledge management efforts**. UNDP's most sustainable efforts have been designed from the outset to work on handing over responsibility to counterparts and building the full capacity to lead implementation via national mechanisms.

Regarding **resource mobilization**, UNDP Uzbekistan has been successful in overcoming constraints in donor funding compared to other development agencies, and has mobilized Government contributions and secured Government-led scaling up of successful pilots. Continuing and expanding such successful initiatives with the Government, UNDP Uzbekistan should increase UN capacity to swiftly respond to new development programming opportunities. Beyond the UN Joint Programme, this implies **sharing capacity more with other UN agencies and partners**, for assessments, resource mobilization and monitoring and evaluation. Responding to the Government's request, UNDP should continue to help the Government shape the donor environment. Building on the trustful relations with the Government, UNDP should strive to increase Government cost sharing. In addition, UNDP should diversify its partnership base to mitigate reliance on a limited number of donors, including via new opportunities with non-traditional donors and the private sector.

UNDP is one of the most **trusted development partners of the Government**, with a broad mandate on human development and the capacity and international expertise to deliver highest-quality support. Among the key strengths has been **effective communication**, above all via electronic media.

Based on its comparative advantage as a very broadly mandated UN programme that works very closely with the Government, UNDP can **help facilitate international support on sustainable human development** (e.g. under the Government's emerging Vision 2030, the MDGs and the global development goals that will succeed them). UNDP is particularly well placed to serve the Government and all the people of Uzbekistan, including by connecting to top-level international expertise and development experience in the 177 countries the United Nations Development Programme is active in.

Chapter 1: Introduction

1.1 Objective of the Evaluation

Outcome evaluations are strategic and important to UNDP as the organization strives to make a difference through its contribution to the attainment of national outcomes. The objective of this mid-term evaluation is to assess progress towards the UNDP Uzbekistan's six CPAP outcomes and the extent to which UNDP has contributed to these outcomes through its project and non-project activities.

The evaluation considers the scope, relevance, efficiency and sustainability of UNDP support.

Based on its assessment following a desk review, an online survey, site visits and meetings with stakeholders, the evaluation team has formulated recommendations on how UNDP could improve the prospects of achieving the CPAP outcomes by further refining programming, partnership arrangements, resource mobilization, and general programme management practices.

The results presented in this report will be used both to fine-tune interventions in the remaining period of the current country programme (as necessary) and to guide future programming.

The evaluation chose a utilization-focused approach, based on the methodologies described in further detail below. By using a comprehensive set of tools, the evaluation balanced the use of data and desk review sources, and the participatory and consultative approach requested in the Terms of Reference (ToR).

1.2 Evaluation Scope

The CPAP mid-term evaluation focused on the following issues:

Outcome analysis

The team assessed whether Uzbekistan's current development priorities are well represented in UNDP's CPAP outcomes and indicators, and sought to document progress made towards the achievement of the outcomes (including contributing factors and constraints).

Output analysis

Under these outcomes, the main question was whether UNDP's outputs have been relevant, effective, sufficient and sustainable (including both project activities and soft-assistance activities¹).

Output-outcome link

The evaluation exercise was designed to assess, as far as possible given the particularly the severe constraints on data and time, whether UNDP's outputs can be credibly linked to the achievement of the outcomes, including via soft assistance.

Strategic Positioning

A special emphasis was placed on whether the CO meets partner needs by offering specific, tailored services, mobilizing resources for the benefit of the country, and based on a comparative advantage relative to other development organizations.

2. Methodology

The evaluators pursued a primarily utilization-focused approach, as the key stated objective of the evaluation was to provide the best possible basis for the further implementation of the CPAP.

¹ For UNDP, soft assistance activities include advocacy, policy advice/dialogue, and facilitation/brokerage of information and partnerships.

Elements of log-frame, theory-based and impact evaluation approaches were also be employed, but with due caution, given the risk of distracting from the main thrust towards agreeing improvements for the current CPAP, particularly in light of the large number and significant diversity of stakeholders.

Consequently, the main emphasis lies on stakeholders' feedback, both through semi-structured interviews (supported by questionnaires) and through an online survey that contained a mix of pre-defined and open response questions, in addition to the desk review and site visits in the field.

2.1 Evaluation Criteria and key research questions

This evaluation builds upon the OECD-DAC evaluation criteria: (1) relevance, (2) effectiveness, (3) efficiency, and (4) sustainability; particular attention was also paid to partnerships, resource mobilization and management.

The key questions listed in the ToR (see annex 1 and the inception report) were utilized to inform the process of the evaluation and the structure and substance of the report. They were adapted to fit the context of the different data collection methods (see e.g. annex [4] for the results of the online survey).

Table 1: Evaluation sample size

Stakeholder Group	Interview sample	Web survey sample
Programme and Project Teams	63	54
Government partners	97	13 ²
Donors	11	8
Other partners (UN, NGOs)	33	15
Total	194	90

2.2. Data Collection Instruments

The following data collection instruments were used in the evaluation:

Desk review of relevant documents

The evaluation team reviewed the original project, recent evaluations and other documents related to the CPAP to identify trends, patterns, issues and underlying themes. This information formed one of the three sources in responding to the key evaluation questions and criteria with the team's triangulation approach. It also helped assemble relevant data during the preparatory phase of the evaluation. A continuous review of documents was undertaken throughout the whole evaluation process, and after consultations with counterparts. A selection of the documents consulted is listed in the annex.

² Despite consistent efforts of the evaluation team, the response rate among Government was relatively low. The responses received were particularly useful, however, as they came with substantial comments and the team was able to triangulate inputs received in the interviews with the results of the survey, as the same structure was followed. The comparatively large number of responses from project teams also includes the government perspective to a certain degree, as many of the advisers are placed directly in counterpart structures.

Interviews

Interviews were conducted with UNDP staff and representatives of all key stakeholders involved in the CPAP. The objective was to explore details in terms of perceptions related to the CPAP 2010-15. The team used structured interviews, based on the evaluation key questions, where respondents were asked to respond to as nearly identical sets of stimuli as possible. All interviews were conducted face-to-face.

Web Survey

A web survey was used to collect qualitative and quasi-quantitative inputs from a broad group of stakeholders. The results are presented in the annex.

It is important to emphasize that the web survey and the interviews were designed to have a common core in terms of topics covered and structure to allow for a comparability of data in the triangulation process.

Field visit

The team visited the Ferghana Valley to engage directly with some of the key stakeholders.

Data analysis

Project implementation data and other data provided by UNDP and stakeholders were used to assess the project results and context trends.

2.3 Triangulation

A key principle in the evaluation methodology is the triangulation of information and data. Triangulation requires verification of at least three sources of information: perception, validation and documentation. The team used the methods described above to validate the information and to respond to the research questions through the cross-referencing of data sources.

2.4 Limitations to the Evaluation

Time constraints:

The evaluation was constrained by the limited time available, as a mere four weeks were available for the entire process. Under ideal conditions, a stronger sequencing of surveys, questionnaires and interviews would have been desirable, to build more effectively on the findings of each stage, and to complement data collection deficiencies. This CPAP evaluation was conducted with a degree of synchronicity to reduce the overall time required. Nonetheless, the different tools were applied to complement each other and to allow for fine-tuning throughout the process, which is in fact part and parcel of a utilization-focused approach.

This focus on how best to ensure that the findings do indeed contribute to an optimization of the next phase, underscores the emphasis on qualitative methods and on trying to attain the highest possible degree of engagement with stakeholders.

Qualitative Methods are highly time-consuming, especially given the large number of stakeholders and their very diverse backgrounds and expectations. Therefore, the evaluation methodology was customized to allow for a full breadth of scope without losing the necessary depth and quality of detail, and to guarantee that the evaluation team had enough time to analyse the evidence, triangulate the data, and respond to the evaluation questions.

Data Availability:

The availability of relevant data is very uneven, which makes a consistent assessment of quantitative data particularly difficult.

The tension between the relationship- and process-centred nature of the CPAP and the requirements of results-based management is evident throughout. The CPAP is subject to the eternal paradox of coordination: Similar to the adage about “success having many fathers, while failure is an orphan,” attributability seems to be a particular challenge for successes, while failures are more easily blamed on those trying to facilitate implementation. While the evaluation did review the results framework (mainly in terms of design) and report on the outcomes cited there, this was not the primary focus. The main focus was on how partners cooperate and interact, and on what the project can do to facilitate and strengthen cooperation.

While the limited availability of data is an issue to be taken seriously, including in the design and implementation of the remainder of the CPAP, it did not jeopardize the validity of the evaluation, given the focus of the CPAP on process and relationships.

As the limited availability of data, even in terms of statistics generated by UNDP projects, is, however, symptomatic of how genuinely results-based management continues to be a somewhat foreign concept in Uzbekistan, the evaluation team had to adjust to UNDP Uzbekistan’s project-based and activity-focused implementation and reporting.

Chapter 2: Major socio-economic developments over the CPAP period

In 2008, the Government adopted an anti-crisis programme to mitigate the consequences of the global economic crisis. The measures under this programme included the provision of concessional loans to exporters and small businesses, large-scale road and rail infrastructure investments, modernization of the industrial sector, government-funded housing construction, mainly in rural areas. Coupled with favourable international prices for the country's main exports (copper, cotton, gas, and gold) these interventions helped Uzbekistan to avoid many of the negative consequences of the global economic crisis.

In 2010, the World Bank reclassified Uzbekistan from "low income" to "lower middle income," based on sustained economic growth, estimated at around 8% per annum since 2004.

While economic growth prospects and the country's external and fiscal positions for the medium term remain strong, a deceleration in global growth would affect Uzbekistan's economy via weaker demand for Uzbek exports and lower remittances. In 2011-12 the Government again announced plans to improve business and governance environments; longer-term development strategies include commitments to accelerate structural reforms and a further diversification of the economy to increase productivity and to ensure sustainable and inclusive growth (mainly in the context of Vision 2030 discussions).

Following the Welfare Improvement Strategy I 2008-2010 (in lieu of a PRSP), a Welfare Improvement Strategy II (WIS II) has been adopted for 2013-2015.

President Islam Karimov declared 2011 the "Year of Small Businesses and Entrepreneurship," 2012 the "Year of the Family," and 2013 the "Year of Prosperity and Well-being."³

Poverty, according to official sources, has declined in recent years. According to official data, poverty, as measured by a national food-based norm of 2,100 kilocalories per person per day, declined from 27.5 percent of the population in 2001 to 15 percent in 2012, due to rapid economic growth, large government investments in education, health, and infrastructure development, regular increases in public sector salaries, and increased remittances.⁴

As the IMF concluded in its September 2012 Article IV Consultation, structural reforms need to be stepped up to ensure high and sustained growth. Implementing effectively the recent decisions to improve the business environment will help foster productive investment and promote private-sector participation, while creating jobs for the fast-growing population. A key priority is to ease the restrictiveness of the foreign exchange (FX) and trade regimes, as it impedes the development of the financial and private sectors and distorts resource allocation.

Improving economic data quality and transparency should be a priority. Bringing statistics standards in line with international practice would help improve the quality of macroeconomic analysis. Public availability and transparency of data would facilitate business planning and investment.⁵

The Government continued spending around 59% of the state budget on social sectors, mainly on education (8-9% of GDP) and around a quarter dedicated to healthcare. At the same time, spending on social allowances has declined following the revision of disability and eligibility criteria and the reduction allowances for vulnerable families with children.

Uzbekistan's Human Development Index ranking dropped from 102 of 169 in 2010 to 114 of 186 in 2012, while the absolute value of the country's HDI increased from 0.636 in 2010 to 0.654 in 2012. In UNDP's 2013 Human Development Report *The Rise of the South: Human Progress in a Diverse World*, Uzbekistan is categorized among medium human development countries. The 2012 index score of 0.654 is higher than the average for this category (0.640), but the increase

³ <http://www.gov.uz/ru/year/13430>

⁴ <http://www.worldbank.org/content/dam/Worldbank/document/Uzbekistan-Snapshot.pdf>

⁵ <http://www.imf.org/external/pubs/ft/scr/2013/cr13278.pdf>

between 2005 and 2012 for Uzbekistan (0.037) was lower than the average for this category (0.050).⁶

While the Government has continued its policy of state-driven industrialization, there has been an evident shift towards the development of small business and private entrepreneurship. As a result, Uzbekistan has moved up 14 positions in the World Bank's "Doing business" report. Uzbekistan is now ranked 154th overall (compared to 168th in 2011 in the same methodology) and was included in the list of countries with the most improved ease of doing business across several areas of regulation.

The President's 2010 Concept of "Deepening democratic reforms and strengthening civil society," has been among the key references for UN programming. The Government has also strengthened the oversight functions of civil society, with draft laws on social partnership, public audit, and property rights currently under consideration.⁷

As highlighted in its presentation in the July 2013 Report of the Working Group on the Universal Periodic Review (UPR), Uzbekistan adopted a National Plan of Action for 2009–2012 containing 89 measures to implement the recommendations of the first UPR review. For the preparation of the second national UPR report, an Intergovernmental Working Group was established, consultative meetings were held with ministries and civil society, and the report was approved by the Uzbek Parliament. The gradual and full realization of economic, social, cultural and environmental rights has been receiving particular attention. A resolution was adopted by the Government to implement the Millennium Development Goals and annual parliamentary hearings are organized thereon.

Uzbekistan presented itself as fulfilling its obligations under international human rights treaties, having submitted 32 reports to treaty bodies and currently implementing Ten National Plans of Action based on treaty bodies' recommendations. In 2012, seven laws were adopted which aimed at ensuring the rule of law, the protection of human rights and freedoms, strengthening judicial control of pretrial proceedings and liberalizing the Criminal Code, the Code of Criminal Procedure and the Administrative Code. Draft laws were under preparation in the following areas: social partnership, social control, parliamentary control and transparency of State power and governance. Measures are being taken to develop an "electronic Government", including the creation of a single portal which will simplify citizens' interaction with government services. Of 203 recommendations formulated during the interactive dialogue, 101 enjoy the support of Uzbekistan, 30 are considered already implemented or in the process of implementation, 14 were to be examined by Uzbekistan no later than September 2013, and 58 did not enjoy the support of Uzbekistan.⁸

⁶ <http://hdrstats.undp.org/en/countries/profiles/UZB.html>

⁷ UNDAF MTR 2013.

⁸ <http://daccess-dds-ny.un.org/doc/UNDOC/GEN/G13/154/79/PDF/G1315479.pdf?OpenElement>

Chapter 3: UNDP response: Projects & initiatives by component⁹

Component 1 – Economic Governance: Results framework, description of efforts 2010-2013

OUTCOME	Output	INDICATOR	BASELINE	TARGET
Capacity of central and local authorities enhanced to develop and implement economic and social security policies aimed at welfare improvement of vulnerable groups.	Number and quality of government policies and programmes promoting inclusive growth in line with MDGs		Welfare Improvement Strategy exists.	At least 3 policies promoting inclusive growth (MDGs)
	1.1: Strengthened government capacity at national and local levels to improve macroeconomic forecasting, innovation, and to collect, analyze and report data in line with the Millennium Development Goals and other international standards.	Number of government employees trained on evidence-based policy formulation, implementation, M&E	Not established	At least 100 per year
		% of recommendations on social, economic & human development reflected in GoU policies / programs	Not established.	At least one third.
		WIS assessment report produced.	MDG-based WIS 2008-2010 adopted 2007	Assessment of MDG-based WIS implementation; follow-up action proposed.
		Number of national human development reports and thematic development policy briefs/round table stakeholder dialogues.	1 NHDR / 2 years, 2 dev. policy papers / 1 roundtable stakeholder dialogue per yr	NHDR on reg. disparities 2010, +2 NHDRs by 2015. At least 2 development policy papers / 2 stakeholder dialogs per annum.
		Number of implemented initiatives to improve M&E of government programmes at rayon level	1 (Andijan) M&E database on GoU prgs @ rayon level	At least five initiatives
		Availability of a medium- and long-term programme of innovation with clear action and M&E plan	Neither exist as of 2009	Submission of both to GoU
	1.2: Improved Public Financial Management and Aid Co-ordination.	Performance based and Multi-year budgeting framework introduced into in selected sectors	Concept of PBB / MTBF implementn is developed	PBB and MTBF applied in budgeting of at least 3 targeted GoU programmes
		% of ODA (TA & grants) effectively coordinated by Ministry of Finance	Not established	At least 75% by end of 2010, at least 95% by 2015
Increased employment opportunities and economic security for vulnerable groups.	# of poor communities with increased employment , improved access to microfinance , business advisory facilities and basic social services .		200	500
	2.1: Inclusive microfinance, business advisory and support services facilitated, as well as investment attraction capacities increased.	# of regions where public private dialogue platform is promoted.	Exists at center; limited outreach	2 regions p.a.; all regions by 2015.
		Recommendations on improving the regulatory environment of the microfinance sector developed	Legal and regulatory framework is not adequate.	Laws on "Microfinance" & "MFOs" developed 2011, implemented 2013.
		# of rural people, including women, benefiting from micro-finance & business advisory services.	4 000	At least 2,000 a year
		# of Business facilitation centers	0	At least 12 (2 per annum)
	2.2: Community-based infrastructure rehabilitated to improve access to basic social services.	# of community projects on basic services co-funded by communities	200 community projects in 5 regions	400 projects by end 2015; 60-70 projects per annum.
		# of people in rural areas with improved equitable and sustainable access to water and municipal utilities.	By 2010, 500,000 people provided w. access to water / communal services.	At least 150,000 people per annum.

A solid portfolio of UN projects has been implemented over the reporting period supporting national and regional level capacities to address economic wellbeing of vulnerable people. UNDP has close partnerships with key national think tanks (including the Institute of Forecasting and Macroeconomic Analysis - IFMR; the Center for Economic Research – CER; and the Institute of Social Studies) to support evidence-based policy making.

⁹ see annex 5 for a listing of projects by component.

Joint research has been conducted on a broad range of issues from the impact of economic growth on poverty reduction, and sensitivity analysis of growth indicators to the changes in factors of economic growth, macroeconomic regulation, analysis of the social safety net, family asset mobilization, and many others.

The research has underscored that a more equal distribution of the benefits of economic growth (both in terms of geography and status within society) could accelerate the reduction of poverty and vulnerabilities in Uzbekistan. As Uzbekistan has attained lower middle income status, the criteria (currently nutrition-based at 2100 kcal per person per day) for measuring poverty deserve to be reviewed, in line with the concepts of human development, human security and development as freedom.¹⁰ A cross-cutting recommendation that came out of this research is the need for better access to reliable data, e.g. at the household level by regions, which would also facilitate the development of targeted interventions to further improve living standards in all parts of the country. The Government has also expressed interest in considering alternative poverty measures, and has requested UNDP's and the World Bank's support on this.

UNDP has been continuously supporting the Government to improve data management systems, including via a joint initiative involving the UNDP Bratislava Regional Center on MDG statistics and monitoring at municipal level. In 2010-2012, the UNDP worked closely with the Aral Sea Gene Pool Protection Fund and trained key provincial level officials in Karakalpakstan, Bukhara and Khorezm province on incorporation of population factor in provincial socio-economic plans.

UNDP continued the implementation of a broad scale programme to support inclusive employment and improve the social protection system. Joint efforts with the Ministry of Labour and Social Protection (MOLSP) are targeted at fostering more job creation for women and youth, as well as people with disabilities.

Promoting culture's role in development together with UNESCO, UNDP supported the development of cultural tourism, and the revival of traditional handicrafts for income generation, especially for women.

Despite reported high GDP growth rates, decent job creation remains a critical challenge in rural areas. Migration has become an important factor, with increasing volumes of remittances and perceived better opportunities in other countries.

UNDP has built national monitoring capacity based on large-scale quarterly surveys of the business environment. UNDP supported a first business facilitation center (BFC), opened in August 2011 in Gulistan. Five more business facilitation centers have been opened since.

Via a project that was concluded in 2011, UNDP also supported the Government in improving access to finance; an emphasis has been placed in particular on reducing the regulatory burden for private entrepreneurship and the microfinance sector through the standardization of operations and better client protection policies. Working closely with the IMF, UNDP contributed significantly to improvement of public finance management. As the State Budget is a pivotal tool for the Government to implement social policies (i.e. in health, education, social protection) these improvements can be important contributions to promoting human development efforts. UNDP's efforts were aimed at improving the transparency, efficiency, and accountability of the state budget, including through the introduction of a performance-based budgeting framework, improving public procurement and harmonization with international public sector accounting standards. These principles were reflected in a new budget code developed jointly with UNDP that is expected to enter into force in January 2014.

One of UNDP's flagship efforts has been on improving access of the rural population to basic social services. Through a grant contest among NGOs to find the "Best Social Enterprise," UNDP helped establish 19 new social services for more than 4,500 vulnerable beneficiaries, including

¹⁰ http://www.un.org/en/events/pastevents/in_larger_freedom.shtml

persons with disabilities, elderly, and victims of trafficking and domestic violence. Area-based development projects were focused on local infrastructure rehabilitation and strengthening the capacity of communities in the Republic of Karakalpakstan, Kashkadarya, and the Fergana Valley. UNDP engaged closely with local communities to develop and implement small infrastructure rehabilitation projects. According to the projects' own data, more than 700,000 people have gained access to basic services, including clean drinking water, renovated primary health care facilities, irrigation facilities and alternative sources of energy through 286 initiatives co-funded by UNDP and local communities.

Among the areas in which UNDP has helped improve the livelihoods of vulnerable groups, "Growing inclusive markets" (GIM) and "Aid for trade" (A4T) project components are worth mentioning. Via the prior, a Milk Collection Center was set up at the Chashmai Safed Farm in the Namangan region. The Chashmai Safed Farm supports about 400 households of Kosonsoy District by providing them with an opportunity to sell their milk and thus generate income.

The same GIM project assists vulnerable groups in the development of crafts based on a cooperation between the private sector and a boarding school in Khorezm region. The target groups of this component are over 300 women and girls with limited abilities in Urgench city every year. The component envisages purchasing sewing machines for the beneficiaries, providing training, rendering support in securing loans from commercial banks, and building marketing and management skills.

The GIM project is also working on facilitating certification of Uzbek farmers based on Fair Trade standards (1000 rural households), improving solid household waste management in Yangiyul district of Tashkent region, and introducing energy-efficient green-houses in rural areas.

The aid for trade (A4T) project provides support in terms of improving internal markets' trade capacities and employment opportunities of rural communities in the Namangan region. For example the "Women's Crafts Development Center - Sanam Uychi" that was set up jointly with the project provides jobs for more than 20 rural women in Namangan region. The project itself provides support by issuing brochures and brief guidelines (on investing in Uzbekistan, on how to export, on storage, on the cost of doing business), setting up websites (e.g. www.exporter.uz and www.fiez.uz), conducting trainings and organizing study tours.

In March 2012, a UN Joint Programme for "Sustaining Livelihoods Affected by the Aral Sea Disaster" was launched, creating a good model for cooperation to addressing complex development needs of marginalized, vulnerable populations.

Through the end of 2011, UNDP implemented a project build the capacity of the Government's aid coordination institutions. Regular meetings among donors and the MoF Aid Coordination Department were organized, a development cooperation report for 2010 was published and an aid database¹¹ was launched in 2011 that has since become inactive.¹²

¹¹ <http://devaid.uz/>

¹² UNDAF MTR 2013, UNDP report for CPAP roundtable discussion September 2013, multiple documents on www.undp.uz; interviews with UNDP and stakeholders September & October 2013

Component 2 – Environment & Energy: Results framework, description of efforts 2010-2013

OUTCOME	Output	INDICATOR	BASELINE	TARGET
<i>“Increased availability of institutional products and services for the conservation and sustainable use of natural resources”</i>	Number of such products and services available.		Limited at all levels..	Significant increase
	3.1: Concrete interventions on sustainable natural resources use, including water, land, biodiversity resources, and on climate change (mitigation, adaptation and carbon financing) complemented with environment education/ training component.	# of initiatives on integrated land use planning and management practices piloted	Lack of integrated approaches to land use planning and management	1+ initiative on integrated land use planning & management piloted p.a.
		# of elaborated IWRM and water efficiency plans	Lack of integrated approaches in water use and management	IWRM and water efficiency plan developed for at least one river basin by 2015
		# of recommendations submitted for government endorsement.	Biodiversity not mainstreamed; national PA system inadequate to meet international commitments	Recommendations for mainstreaming biodiversity in at least one sector; for improving PA system elaborated by 2015.
		# of recommendations on energy efficient and low-carbon solutions based on pilot activities	National economy is highly energy intensive	2+ energy efficient / low-carbon solutions by 2015 + recs
		# of sectoral and inter-sectoral climate change adaptation policies and strategies elaborated	Lack of strategies / policies on adaptation to CC	CCA policies / strategies for 1+ sector by 2015
		# of recommendations: carbon finance legislation submitted for GoU, and # of programmatic CDM projects	legislation requires improvement; no CDM projects	recs for 1+ legisl. doc. on carbon finance; 1+ CDM project by 2015
		# of projects financed through the Green Investment Scheme (GIS)	CDM projects don't sufficiently contribute to sustainable dev	GIS: 1+ project contributing to MDGs / sustainable development by 2015
	3.2: Legal / institutional frameworks & GoU capacity to meet international commitments	# of reviews with recommendations submitted to GoU that contribute to strengthened frameworks	framework inadequate to meet international commitments / obligations	1+ institutional / legal EE framework reviewed & recs produced, p.a. (i.e. 6)
	3.3 Community approaches to environment / socio economic dev of vulnerable	# of communities participating in addressing environmental challenges and socio-economic well-being of vulnerable groups.	Weak community involvement	1+ local community p.a. (Aral Sea area, GEF - Small Grants Programme).
Preparedness for and responsiveness to natural disasters strengthened	Capacity of the Min of Emergency Situations and other stakeholder agencies in disaster risk management.		Capacity / coordination mechanism to be strengthened	better capacity / coordination of stakeholders
	4.1: Enhanced capacity of the MinES & stakeholders for disaster risk reduction in high-risk locations	Number of institutions and staff trained and equipped.	Insufficient institutional, tech., & human capacity (prevention, mitigation, preparedness, response)	1+ key national institution trained to prevent, mitigate, prepare, respond by 2015

UNDP has maintained its strategic focus on mainstreaming best international practice in the area of climate change mitigation and adaptation, combating land degradation, improving water use efficiency and preservation of biodiversity into key national planning documents. Over the first three years of the CPAP, UNDP has continued its support in developing national capacities to meet international commitments on environment issues.

With support from UNDP, the Government has issued a resolution establishing a first Biosphere Reserve, which brings Uzbekistan closer to compliance with the UN Convention on Biological Diversity. The Biosphere Reserve offers new approaches to managing protected areas and showcases how local communities can effectively be engaged in environmental protection.

Facilitating Uzbekistan's participation in the Rio+20 Conference, UNDP supported the national expert group in preparing the national report, and conducted an assessment of greening

potential in the energy sector. Based on UNDP support, Uzbekistan has become an active participant in global carbon markets, through the Kyoto Protocol of the UN Framework Convention on Climate Change. Worldwide, Uzbekistan is currently ranked 9th based on average annual reductions of CO₂ emissions, and 19th in terms of registered Clean Development Mechanism (CDM) projects (14). Since its engagement in CDM began in 2007, Uzbekistan has attracted foreign private investments in the amount of \$24.4 million. Total Certified Emission Reductions (CERs) for an amount of 647,284 tons of CO₂ equivalent were issued in 2011-2012.

UNDP assisted in the formulation of the five-year National Programme on Environmental Protection and the Rational Use of Natural Resources, which integrates the objectives of global environmental conventions. The National Environmental Action Plan of the Republic of Uzbekistan for 2013-2017 has been developed, based on international models and tools for environmental policy planning.

In the course of 2011 and 2012, ten mandatory national core building codes have been revised to integrate energy efficiency issues and have been adopted by the Government of Uzbekistan. UNDP contributed to this process by providing international expertise and sharing relevant best practice. Compliance with these new building codes could reduce energy consumption by up to 50% in retrofitted and new buildings. UNDP also helped Uzbekistan develop an Energy Information Management System to collect, store and analyze data on energy consumption, and Energy Management Systems for public buildings in the health and education sectors. A database of energy efficient construction materials and technologies is now available in the country. In 2012, UNDP and its partners completed construction of two new schools in Andijan and Navoi provinces, as well as the major reconstruction of four schools in Republic of Karakalpakstan, Kashkadarya, Navoi and Ferghana regions, and of two rural health clinics in the Tashkent and Navoi provinces.

Following the 2011 drought in Kashkadarya, UNDP assisted in the development of a full scale concept for a Drought Early Warning System. Following a successful pilot of the Water Evaluation and Planning (WEAP) model in the Kashkadarya river basin, UNDP is advocating for a nationwide rollout.

In partnership with the Global Environment Facility Small Grants Programme, UNDP has showcased innovative approaches in biodiversity preservation, sustainable land and water resource management, improving energy efficiency and climate change adaptation. This has included the introduction of laser leveling technology for arable land in Kashkadarya and Karakalpakstan to improve the efficiency of water used for irrigation; biogas technologies for heating, cooking, hot water supply demonstrated in Syrdarya and Namangan; and the piloting of energy efficient greenhouses in Khorezm and Fergana, for replication throughout the country.

For the second outcome under this component, UNDP has concentrated on shifting from the current response-centric approach to disaster prevention, mitigation and preparedness, based on the Hyogo Framework of Action (HFA). The focus of UNDP support in Disaster Risk Reduction has been on building the capacity of the Ministry of Emergency Situations (MES) and other stakeholders to mitigate disaster risks and on expanding community based disaster risk reduction. The first major achievement in this direction was a disaster risk reduction capacity assessment of national counterparts in 2011. To date, UNICEF has trained 13,750 children and 4,500 parents on how to mitigate risks and how to respond in natural disasters in 72 school drills; 300 teachers, technical staff and nurses have been trained as members of Volunteer Rescue Teams. To enhance the capacity of the MES, the Ministry was equipped with necessary equipment for the training of the rescuers and local communities in Tashkent city. Similarly, the Tashkent Institute of Postgraduate Medical Education was provided with equipment necessary to conduct training to effectively manage radioactive waste and to establish an early warning system.

Environmental issues are increasingly being viewed through the lens of social and economic wellbeing, which has been received well by national partners and donors. UNDP has advocated for the importance of the community involvement in environmental sustainability since the community is a key actor contributing to a sustainable use of natural resources.¹³

¹³ UNDAF MTR 2013, UNDP report for CPAP roundtable discussion September 2013, multiple documents on www.undp.uz; interviews with UNDP and stakeholders September & October 2013

Component 3 – Good Governance: Results framework, description of efforts 2010-2013

OUTCOME	Output	INDICATOR	BASELINE	TARGET
Enhanced accessibility, transparency, fairness of justice system and legislatures to promote rule of law, including increased harmonization of national legislation.	General conclusions of Convention committee responses to national reporting on UN Human Rights conventions.		Reporting is regular; data collection & implementation follow-up to be improved	Further improvement in reporting and following up recommendations
	5.1: Enhanced capacities of the national human rights institutions and other relevant bodies, including legal clinics to better fulfill their mandates and thus promote and effectively protect human rights	5.1.1: Quality of reporting & implementation of recs on Conventions & UPR.	GoU reporting exists, but the UPR is a new mechanism.	Full reporting and implementation of recommendations.
		5.1.2: Mechanism on provision of legal aid to the poor and legal clinical education in the higher education curricular.	No legislation in place, 3 legal clinics functioning.	legislation by 2012, leg. aid: Nukus, Samarkand, Namangan & Tashkent.
		5.1.3: # of participants in capacity building on human rights from CSOs, loc. gov., judiciary, law enforcement	not known.	1000 per year.
		5.1.4: Institutional development for national human rights bodies; clarification of complaint mechanisms.	not known.	Instit. dev. progs with HR bodies; complaints mechanism clarified.
Strengthened public administration at all levels that exercises efficient, accountable and inclusive governance.	Progress in civil service reform.		Civil service reform, nor law on public admin. adopted.	Comprehensive strategy for civ. service reform & shift to RBM
	6.1: Strengthened govt and Parliament capacity (legislative, representative and oversight functions) at national and local levels to execute public administration in a more transparent, fair and efficient manner.	6.1.1: Capacity of key institutions strengthened to deliver equal access and services to vulnerable groups (unemployed, rural poor (particularly women), young people, people with disability, HIV/TB/malaria.	Some services exist, but are in need of being strengthened and better targeted.	>200 communities' capacity built on services for vulnerable groups
		6.1.2: # of pilot initiatives at central and local levels that promote a greater participatory process for legislation, policy making and service delivery, w. private sect. & civil society	19 info & resource ctrs in 4 regns: participatory govrnce for rural infrastr. & better access to basic services.	Strategy for participatory processes of GoU & private and civil society adopted, >3 pilot initiatives by 2015.
		6.1.3: Strengthening parliamentary process: functioning, oversight, legislative process, support to sub-committees & improved relations with media and civil society.	Parliament functions - baselines in consultation w. Parl. secretariat to prioritize assistance.	Draft laws discussed with stakeholders; Parliament more efficiently reflects views of electorate.
		6.1.4: Implementation of ICT innovations such as e-governance that improve efficiency, communications and transparency.	ICT supports 'one-stop-shop' initiative in Sergeli district, Tashkent.	>3 additional ICT enabled 'one-stop-shops' launched, for roll-out by national partners
	6.2: Citizens are better informed about development challenges, policy making and empowered to better participate in decision-making.	6.2.1: # of NGOs' capacity built for fundraising, partnering, networking, social management	200 Mahalla Committees	At least 60 per year.
		6.2.2: Number of new social enterprises	Unknown.	>8 enterprises by 2015.
		6.2.3: Public awareness on human development: i) equal opportunities, access to services and employment for people with disabilities; ii) knowledge of human rights; iii) people with HIV/AIDS.	Campaign on 'People With Disabilities'; some low level human rights and HIV/AIDS work carried out.	At least 5 campaigns by 2015, with accompanying assessment surveys carried out to gauge impact.
		6.2.4: # of young people in civic education to promote volunteerism and community participation in development initiatives.	Not known.	Nation-wide vol. network by 2013, >3000 young people in civic ed. p.a.; & in national network.
		6.2.5: # of educ. establishments that adopt human development curriculum and teaching kits; # of analytical papers produced	One teaching course so far adopted, and 4 analytical papers so far produced.	> 3 by ed. institutions adopt hum. dev. curriculum; >10 analyt. papers by mid 2011
		6.3: Improved legislative and institutional environment for equal rights and opportunities for women and men of Uzbekistan.		
		6.3.1: Progress in national legislation, national plans of action, social support services and monitoring mechanisms on women's rights and gender equality issues.	CEDAW NAP: no laws / support on domestic violence; equal rights & opportunities; weak M&E / reporting	New laws; NAP & social support services; gender focal points in ministries with active working mechanism
		6.3.2: Improved general awareness on gender equality issues, including domestic violence, and enhanced leadership skills and role models among women.	Low awareness of gender; stereotypes; educ. curricula don't cover equality; few women leaders.	Gender in education curricula, media campaigns on equality, leadership training for young women
		6.3.3: Improved data collection and analysis on women's rights and gender equality across sectors	Little cross-sectoral gender research; data rarely disaggregated	Regular cross-sectoral gender research, data disaggregated
		6.3.4: Score & ranking in WEF Gender Gap Index	2009: 58 of 134. Index 0.6913	TBD by the end of 2010.

UNDP assistance on governance has focused on areas outlined by the Concept on "Deepening democratic reforms and strengthening civil society," proclaimed by President Islam Karimov in November 2010. The Concept highlights the need for continued governance reforms, specifically to promote greater parliamentary oversight, the delegation of authority by the President to the Senate, more effective public oversight mechanisms, further reforms in the judiciary, and more freedom for the mass media. The Government has undertaken a broad range of measures to make public administration more efficient and more effective, including the wider introduction of e-governance, in which UNDP has played a particularly active part.

Uzbekistan is still in the process of defining an overarching strategy and architecture for governance reform. As governance reforms not only take time to implement on a broad scale, but take even longer to change individual and institutional behaviour and thus to take effect, and even after that there is a time lag before perceptions change, Uzbekistan has remained at the lower end of global governance rankings including Transparency International's Corruption Perception Index and the Bertelsmann Transformation Index.

Consequently, while the Government's increased attention to good governance has improved a number of administrative and accountability mechanisms, there are numerous issues on which UNDP can provide further support; particularly in terms of strengthening decision-making at the central level to increase effectiveness and efficiency; clarifying roles and responsibilities of government at the central, regional and local levels; and streamlining the regulatory framework on public service provision. Ultimately, UNDP is well placed to support the Government in designing and implementing the administrative reforms that are necessary for Uzbekistan to attain its full potential and to reach global standards on the basis of international best practice and to improve its perception in the international community.

The draft law on anti-corruption, incorporating recommendations provided by UNDP, has been submitted to relevant government agencies for review, but it is yet to be adopted.

UNDP also worked with Parliament to strengthen its oversight/monitoring functions with regard to the implementation of UN Human Rights Conventions. In 2011 and 2012, the Committees of the Legislative Chamber and the Senate of the Oliy Majlis conducted 10 parliamentary hearings on the implementation of UN Human Rights Conventions and MDGs, as well as on the harmonization of national legislature with international commitments. The National Human Rights Center together with the Ombudsperson of Uzbekistan organized several events (round tables, seminars, etc.) on UN Human Rights Conventions and other international treaties. Several events were organized on gender aspects of law-making and progress towards MDGs in Uzbekistan.

UNDP helped train more than 700 law enforcement officers, decision makers, and local community leaders on the Convention on the Elimination of all forms of Discrimination against Women (CEDAW) and on the prevention of domestic violence.

With the assistance of the UNDP, the Legislative Chamber of the Oliy Majlis established a Training center, where MPs and support staff are trained on various aspects of law-making, such as analyzing legislative acts and how to increase stakeholders' participation in the decision-making processes. UNDP also worked with Parliament to develop training modules and manuals on budgetary oversight. In 2012, MPs participated in study tours to share other countries' experience with analytical functions of Parliament, resulting in recommendations to establish a similar structure in Uzbekistan.

Technical expertise was provided to support the development of a legislative framework to allow the media to exercise its crucial functions of promoting democracy, development and dialogue, including recommendations on draft laws on "TV broadcasting" and "On the transparency of state institutions in the mass media" to align Uzbek legislation with international standards.

As part of the efforts to promote access to justice, UNDP assisted in establishing 5 legal clinics (3 in Tashkent, 1 in Karakalpakstan, 1 in Namangan), and a web-portal (www.uklinika.uz) to reach more beneficiaries with pro-bono services.

UNDP promoted the concept of citizen-centric service provision, helping the Cabinet of Ministers review international laws on civil service reform, and publishing research on gender in the civil

service sector in Namangan and Jizzakh regions. A capacity assessment of civil servants was piloted in Namangan and Jizzakh regions, and a functional review conducted to simplify procedures and streamline the provision of services to make public administration more efficient and responsive to the needs of the population.

In Syrdarya, Jizzakh and Namangan regions, UNDP provided support to implement the "E-Hujjat" electronic document management system in *khokimiyats*, including via ICT training. Nearly 80 *khokimiyat* employees in Jizzakh and Namangan regions were trained on results based management (RBM) skills; and a web-portal was created to increase the interaction between local authorities, citizens and businesses in the Syrdarya region.

In line with the UN's human rights based approach to programming and its mandate to promote universal human rights standards, UNDP advocated for the signing of the UN Convention on the Rights of People with Disabilities (CRPD). Together with the National Human Rights Center, UNDP translated the text of the CRPD and other relevant documents into Uzbek and organized a series of awareness raising and advocacy events with the participation of MPs and government officials. In addition, UNDP conducted a comparative analysis of CRPD regulations in the legislation of Uzbekistan for the Ministry of Justice.

Inclusive governance principles were promoted by UNDP under the concept of "social partnership," raising the profile of civil society organizations (CSOs) as strategic partners for Government. Thus, participatory decision making can be enhanced and some aspects of public service delivery can be outsourced to CSOs, e.g. via social enterprises to integrate vulnerable groups. Together with other UN agencies, UNDP supported the drafting of a Law on Social Partnership by providing policy advice, and facilitating dialogue between the government and CSOs.

UNDP facilitated two international conference and regional roundtables on civil society institutions in public decision making and on civil society development. More than 150 national and international experts and nearly 40 NGOs focusing on people with disabilities participated, and a public council on disabilities was established. A public council on labour protection and employment was also established through the support of UNDP. Two NGOs, promoting rights of people living with HIV were registered and their membership in the Multisectoral Expert Council was endorsed. UNDP also supported volunteerism and social innovation efforts to promote the MDGs, which were introduced widely among young people in Nukus, Samarkand, and Tashkent. National debates were supported in partnership with local organizations on ways to improve civic education and critical thinking of young people from around the country.¹⁴

¹⁴ UNDAF MTR 2013, UNDP report for CPAP roundtable discussion September 2013, multiple documents on www.undp.uz; interviews with UNDP and stakeholders September & October 2013

Chapter 4: Key findings: Contribution to results¹⁵

GENERAL

Stakeholders were unanimous in their strongly positive feedback about UNDP Uzbekistan's ability to engage with the Government; this has meant that UNDP is uniquely placed to promote human development in Uzbekistan and to bring its key strengths to bear as the United Nations programme with the broadest development mandate and the widest reach from the grassroots at the community level to the highest levels of Government decision-making and policy-setting.

Both the stakeholders and UNDP staff were able to cite numerous significant achievements at the level of project outputs and activities. Evidently, there is a high degree of professionalism in projects' implementation, based on capacities both within UNDP and among counterparts that are more developed than in other countries in the region.

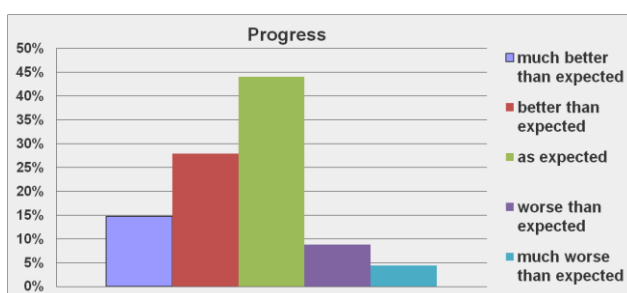
Nonetheless, both internal and external respondents found it very difficult to provide a clear, concise overall assessment of UNDP's role, strategy and progress based on the CPAP. In part, this can be attributed to the fact that there have been significant shifts in UNDP's operating environment (mainly in terms of funding) that could not be foreseen when the CPAP was designed in 2009. To some extent, however, it is indicative of a lack of coherence and strategic clarity that a genuinely effective CPAP should be based on and should reinforce throughout its implementation cycle.

Thus, while there reportedly has been progress towards a more unified, programme-based rather than a fragmented project-focused approach, a lot remains to be done, and UNDP Uzbekistan is unlikely to be able to achieve such a fundamental shift without a restructuring of its human resources and a review of programming and management arrangements.

Component 1 – Economic Governance

1.1. Capacity of central and local authorities enhanced to develop and implement economic and social security policies aimed at welfare improvement of vulnerable groups.

It is not by chance that this expected result comes first in UNDP Uzbekistan's CPAP, as this outcome combines four elements that are at the centre of UNDP's mandate and value-added: a) governance capacity building; b) connecting central and local levels; c) promoting comprehensive socio-economic well-fare policies linked to the MDGs; and d) focusing on the welfare of vulnerable groups.



PROGRESS: Respondents to the survey rated UNDP's progress towards this outcome at 3.4 out of 5 on average, which is the upper limit of the 'as expected' category.

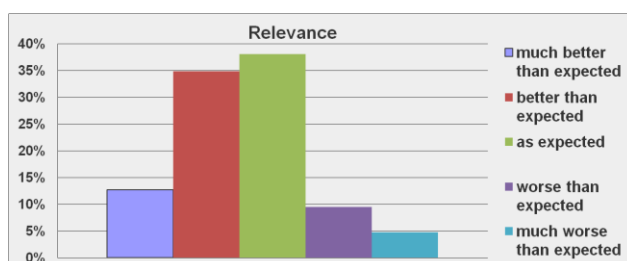
As a senior Government official put it: "A good example of UNDP's achievement is its assistance in developing the budget code. This

document envisages the concept of Result Based Management and implementation of 3-year funding. A new budget code is to be implemented from 2014 onwards, and it will facilitate better governance of public finance and improving the life of the population of Uzbekistan."¹⁶

¹⁵ Structured by CPAP outcome and key parameters assessed in interviews with UNDP and stakeholders September & October 2013, the online survey in English and Russian, UNDP reports for CPAP roundtable discussion in September 2013, multiple documents on www.undp.uz and the desk review – see annex for a selection of sources and list of meetings.

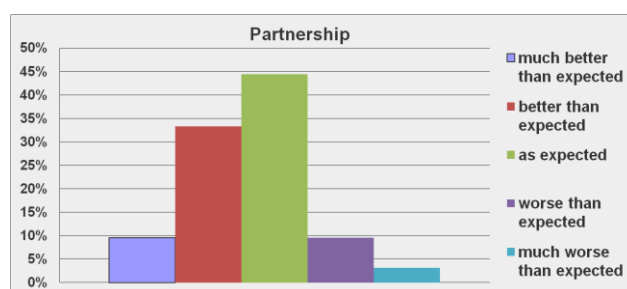
¹⁶ Ministry of Finance: Deputy Minister of Finance, Head of Treasury, Bakhrom Ashrafkhanov, 7 October 2013.

Indeed UNDP can point to many achievements in the nine projects under this outcome, three of which are currently still ongoing. While the successful cooperation with the Center for Economic Research and the Institute for Macro Research continues and budget system reform is reportedly on track, key elements that were among UNDP's flagship efforts in the early stages of CPAP implementation are no longer ongoing, mainly due to a lack of funding. This includes above all the Area Based Development Programme that was concluded in 2012. UNDP's support to aid coordination, which ended in 2011, is likely to be revived at the Government's request.



RELEVANCE: Respondents to the survey rated the relevance of UNDP programming under this outcome in terms of Uzbekistan's current development needs at 3.4 out of 5 on average, which is the upper limit of the 'as expected' category. As indicated above, this outcome does indeed appear to be

particularly relevant to the needs of Uzbekistan at this stage of its development and it is particularly close to UNDP's core competence. This is also underscored by the Government's requests for further support under this component, e.g. in aid coordination. Relevance could be increased even further, if UNDP can revive some of the discontinued flagship efforts, especially in area-based development and with its own national human development reports.

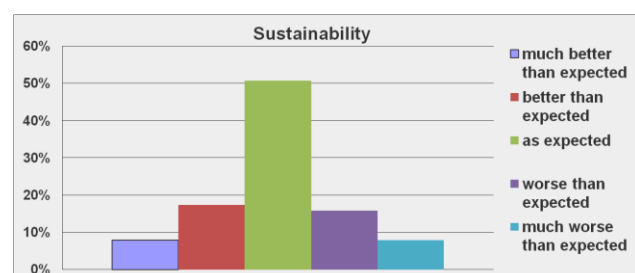


PARTNERSHIP: Respondents to the survey rated UNDP's efforts under this outcome to strengthen partnerships both with direct counterparts and other actors at 3.4 out of 5 on average, which is the upper limit of the 'as expected' category. Stakeholders confirmed in the face to face interviews that UNDP has a particularly important responsibility in terms of building and maintaining partnerships given

its broad rights and treaty based global mandate and its strong relationship with the Government.

One of UNDP's key partners, IFMR, pointed out some of the key elements of successful partnership: "UNDP and IFMR worked together closely to support central and local authorities in the design and implementation of the Welfare Improvement Strategies 1 and 2. The constructive cooperation also let to Andijan and Surkhandrya regions adopting regional development strategies. Furthermore, IFMR and UNDP have jointly been conducting a quarterly survey among business entities to track the business climate. The resulting business climate index helps us adjust the implementation of Government policies."¹⁷

While many examples of very strong partnerships were cited (e.g. with the IMF on budget system reform), UNDP can do even more to reach out to partners both within the UN System and beyond.

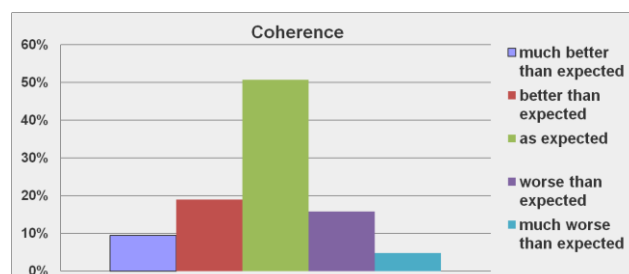


SUSTAINABILITY: Respondents to the survey rated UNDP's efforts under this outcome to ensure sustainability, including via capacity building, at 3.0 out of 5 on average, which is the mid-point of the 'as expected' category. This is still not a negative assessment, i.e. respondents on average reported that UNDP

was on track to achieve sustainable results by the end of the CPAP period; nonetheless, it is the

¹⁷ Institute for Forecasting and Macroeconomic Research (IFMR), Deputy Director, Farhod Jurajanov, 7 October 2013.

lowest score of all 30 scores in the survey, so it may warrant particular attention in the second half of CPAP implementation. Concerns about a lack of sustainability under this component can be primarily attributed to the fact that a number of projects were not extended due to a lack of funding, but respondents both in the survey and in direct interviews also mentioned e.g. that work on legislation needs to continue, that coherence needs to be strengthened, cooperation with NGOs / CSOs should be intensified and expanded, Government funding needs to be mobilized and M&E needs to become more effective, for UNDP's efforts under this outcome to become fully sustainable.

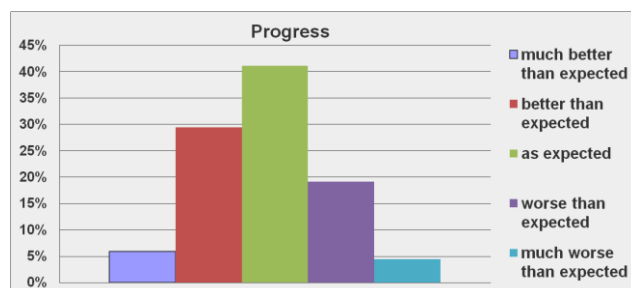


COHERENCE: Respondents to the survey rated the coherence, clarity and logical consistency of UNDP's efforts under this outcome at 3.1 out of 5 on average, which is just above the mid-point of the 'as expected' category. This is not a negative assessment, i.e. respondents on average reported that UNDP was on track;

nonetheless, it is the second-lowest score in the survey. Again, the concerns about a lack of coherence can be primarily attributed to the fact that a number of projects were not extended due to a lack of funding; but respondents both in the survey and in direct interviews also highlighted the need for a more consistent, programme-based rather than project-focused approach, and the room for improvement in terms of results-based management overall, and M&E in particular.

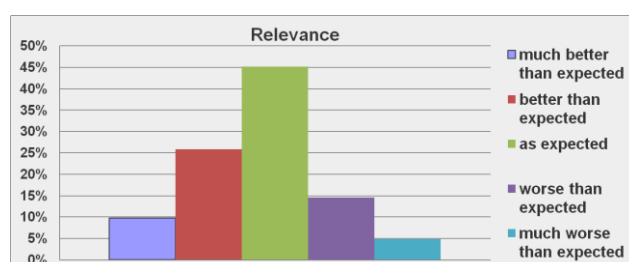
1.2. Increased employment opportunities and economic security for vulnerable groups

This expected result is particularly central to UNDP Uzbekistan's CPAP, as it is perhaps the one that most directly refers to what UNDP stands for globally: "Empowered lives." Similar to Outcome 1, only two out of seven projects under Outcome 2 continue beyond the end of 2013, due to a lack of funding, despite the clear need and demand for more UNDP programming to increase employment and economic security for vulnerable groups.



PROGRESS: Respondents to the survey rated UNDP's progress towards this outcome at 3.1 out of 5 on average, which is which is just above the mid-point of the 'as expected' category.

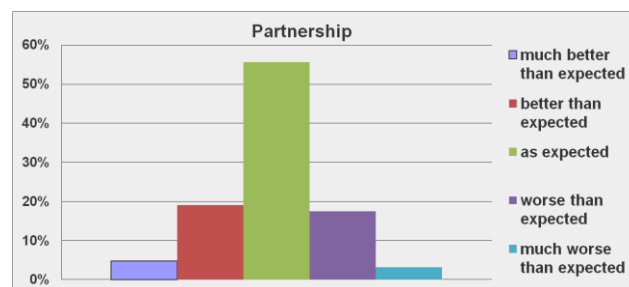
While UNDP can point to significant achievements under this outcome, the scope and momentum of efforts was bigger in the initial years of the CPAP. The Enhancement of Living Standards Programme, which was seen as a flagship in terms of UNDP's efforts at the community level, was concluded in 2011, mainly for financial reasons. There are currently only two projects that extend beyond 2013 under this outcome, the UN Joint Programme on Sustaining Livelihoods Affected by the Aral Sea Disaster (2012-2015) and the Inclusive Employment project (2011-2014), which focuses above all on employment for people with disabilities.



RELEVANCE: Respondents to the survey rated the relevance of UNDP programming under this outcome in terms of Uzbekistan's current development needs at 3.2 out of 5 on average, which is which is above the mid-point of the 'as expected' category.

Stakeholders were positive about the targeting and relevance of UNDP programming: “The fact that UNDP helped purchase sewing machines for women in the Namangan region is a very good example how it supports vulnerable groups. We have to reach those who don’t yet have the means themselves, and assist them in opening up a business. This experience should be scaled up to other regions.”¹⁸

This outcome appears to be very relevant to the needs of Uzbekistan at present and it is close to what is usually UNDP’s core competence. The Government has high-lighted job creation as a top priority, especially also for youth, based on continued population growth. Relevance could be increased even further, if UNDP can revive some of the discontinued flagship efforts, especially at the community level and with a view to reaching more beneficiaries.

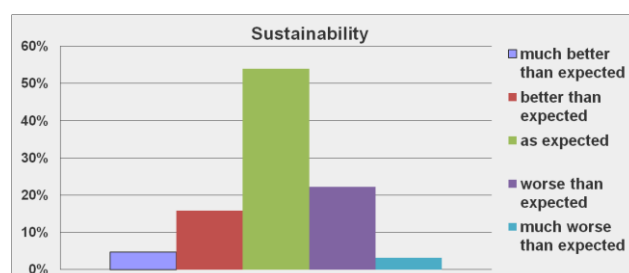


PARTNERSHIP: Respondents to the survey rated UNDP’s efforts under this outcome to strengthen partnerships both with direct counterparts and other actors at 3.0 out of 5 on average, which is the mid-point of the ‘as expected’ category. This is still not a negative assessment, i.e. respondents on average reported that UNDP was on track to achieve

sustainable results by the end of the CPAP period; nonetheless, it is the lowest score of all 30 scores in the survey, so it may warrant particular attention in the second half of CPAP implementation.

UNDP’s key partners in the Ministry of Foreign Economic Relations, Investment and Trade emphasised that there partnership is strong and well-placed: “Our priority is export promotion and the attraction of foreign investments. UNDP is actively helping us develop Free Economic Zones. We appreciate UNDP a lot for these efforts.”¹⁹

Stakeholders confirmed in the face to face interviews that UNDP has a particularly important responsibility to build and maintain partnerships given its broad mandate and strong relationship with the Government. UNDP can do even more to reach out to partners both within the UN System and beyond; the UN Joint Programme provides particularly good opportunities for this in the second half of CPAP implementation.



SUSTAINABILITY: Respondents to the survey rated UNDP’s efforts under this outcome to ensure sustainability, including via capacity building, at 3.0 out of 5 on average, which is the mid-point of the ‘as expected’ category. This is still not a negative assessment, i.e. respondents on average reported that UNDP

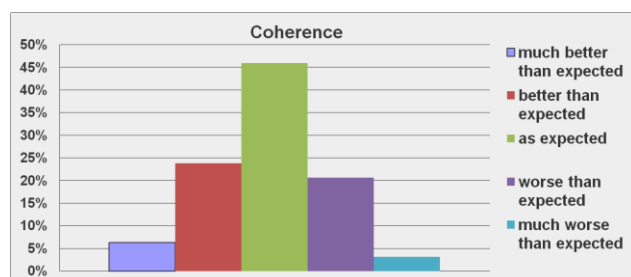
was on track to achieve sustainable results by the end of the CPAP period; nonetheless, it is the lowest score of all 30 scores in the survey, so it may warrant particular attention in the second half of CPAP implementation.

Concerns about a lack of sustainability under this component can be primarily attributed to the fact that a number of projects were not extended due to a lack of funding, but respondents both in the survey and in direct interviews also mentioned e.g. that work on legislation needs to continue; that

¹⁸ Ministry of Foreign Economic Relations, Investment and Trade, First Deputy Minister, Mr. Akmal Kamalov, 10 October 2013; reinforced by direct observation and conversations in the field (Ferghana Valley).

¹⁹ Ministry of Foreign Economic Relations, Investment and Trade, First Deputy Minister, Mr. Akmal Kamalov, 10 October 2013; reinforced by direct observation and conversations in the field (Ferghana Valley).

coherence of UNDP programming needs to be strengthened; cooperation with NGOs / CSOs should be intensified and expanded; Government funding needs to be mobilized; and RBM and M&E need to become more effective, for UNDP's efforts under this outcome to become fully sustainable.



COHERENCE: Respondents to the survey rated the coherence, clarity and logical consistency of UNDP's efforts under this outcome at 3.1 out of 5 on average, which is just above the mid-point of the 'as expected' category. This is not a negative assessment, i.e. respondents on average reported that

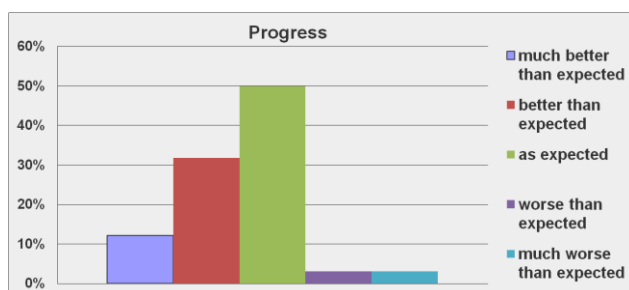
UNDP was on track; nonetheless, it is the second-lowest score in the survey. Again, the concerns about a lack of coherence can be primarily attributed to the fact that a number of projects were not extended due to a lack of funding; but respondents both in the survey and in direct interviews also highlighted the need for a more consistent, programme-based rather than project-focused approach, and the room for improvement in terms of results-based management overall, and M&E in particular.

Component 2 – Environment & Energy²⁰

2.3. Increased availability of institutional products & services for the conservation & sustainable, equitable use of natural resources

The parameters under this outcome have been rated highest of all six outcomes; in very general terms, this can be attributed to the more straightforward role of UNDP as a mandated provider of expertise in a sector that is in large parts regarded as not very controversial; as a consequence, UNDP was particularly successful in building effective partnerships in this sector, which helped both in terms of actual development performance and in terms of perception.

Among the suggestions and requests voiced at the roundtable on 18 September, the National Coordinator on the Montreal Protocol on Ozone Depleting Substances called for new measures to protect the ozone layer. A representative from academia called for scaling up awareness raising and communication efforts on environmental protection at all levels of the education system; and the Head of the Department for International Cooperation at the State Committee on Nature Protection reiterated the importance of working at the community level, calling for efforts to introduce legislation on community forestry.



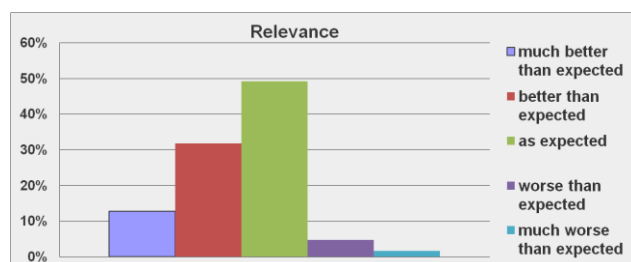
PROGRESS: Respondents to the survey rated UNDP's progress towards this outcome at 3.5 out of 5 on average, which is the lower limit of the 'better than expected' category. UNDP can point to many achievements in the 14 projects under this outcome, eight of which are currently still ongoing. Above all, both the UNDP teams and counterparts emphasised the

²⁰ Structured by CPAP outcome and key parameters assessed in interviews with UNDP and stakeholders September & October 2013, the online survey in English and Russian, UNDP reports for CPAP roundtable discussion in September 2013, multiple documents on www.undp.uz and the desk review – see annex for a selection of sources and list of meetings.

participatory approach at all levels and all stages of planning and implementation as the key to success and sustainability, even if this meant that progress in the initial stages was somewhat slower.

As UNDP's Head of Unit put it: "The key to success has been convincing decision-makers that an integrated approach to natural resource management needs to be adopted throughout the entire planning and programming cycle."²¹

The participatory approach was adopted in genuine mutual agreement, resulting from and reinforcing both formal and informal engagement of stakeholders, as for example in the project on energy efficiency in public buildings (at USD 13.6 million, one of UNDP Uzbekistan's largest).



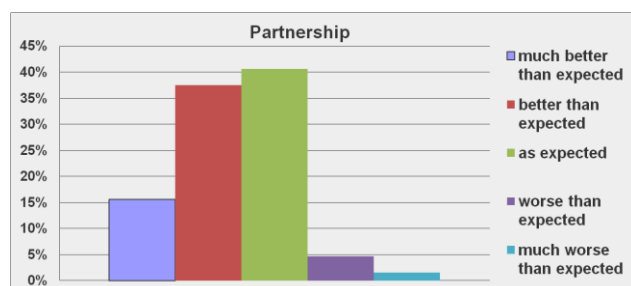
RELEVANCE: Respondents to the survey rated the relevance of UNDP programming under this outcome in terms of Uzbekistan's current development needs 3.5 out of 5 on average, which is the lower limit of the 'better than expected' category. Thus, this outcome was rated as the most relevant to the needs of Uzbekistan at this stage of its development; it

is particularly close to UNDP's core mandate, especially as it usually takes the lead on environmental issues in the UNCT and often supports non-resident agencies in this field.

"UNDP concentrates on issues and processes where institutional and legislative changes are needed, to facilitate the introduction of innovative approaches in our country's development," underscored Shukhrat Ismailov, Head of the General Department at the Ministry of Economy.²²

Among the areas indicated as particularly relevant, the Ministry of Agriculture and Water Resources called for continued UNDP support on integrated water resource management and proposed a particular emphasis on strengthening water user associations.²³

Relevance scores strongly under this outcome largely also due to the efforts put into comprehensive consultations, resulting in well-designed, "localized" projects with strong ownership by national counterparts, e.g. in integrated water management.



PARTNERSHIP: Respondents to the survey rated UNDP's efforts under this outcome to strengthen partnerships both with direct counterparts and other actors at 3.6 out of 5 on average, which is above the lower limit of the 'better than expected' category and therefore the highest score among the 30 parameters in the survey.

As UNDP's counterpart in the Ministry of Agriculture and Water Resources highlighted, "partnership is vital; in addition to national partners, international organizations should also continue to be brought into the evolving partnerships."²⁴

"UNDP is a source of innovative ideas. The partnership develops continuously, and this is above all important as it facilitates an exchange of experience and helps avoid duplication," explains one of the key civil society partners.²⁵

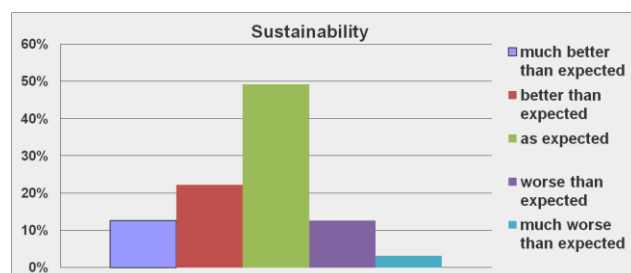
²¹ UNDP, Head of EE Unit, Abduvakkos Abdurakhmanov, 23 September.

²² Ministry of Economy, Head of General Department, Shukhrat Ismailov, 26 September.

²³ Ministry of Agriculture and Water Resources, Deputy Head of Water Management Department, Ravshan Muminov, 24 September 2013.

²⁴ Ministry of Agriculture and Water Resources, Deputy Head of Water Management Department, Ravshan Muminov, 24 September 2013.

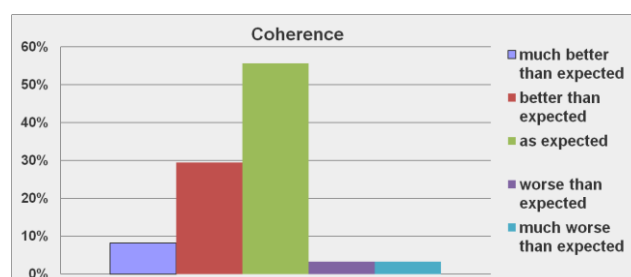
As highlighted above, strong partnerships have been the key to UNDP's real and perceived success under this outcome, based on a broadened pool of partners, with clear roles and responsibilities, and consistent communication to keep cooperation flexible and effective, like for example in the upcoming new project with GosKom ZemKadastr.



SUSTAINABILITY: Respondents to the survey rated UNDP's efforts under this outcome to ensure sustainability, including via capacity building, at 3.3 out of 5 on average, which is close to the upper limit of the 'as expected' category, and the highest of the six sustainability scores.

Partners' advice on strengthening sustainability included the encouragement to focus on outreach campaigns and on mainstreaming climate change aspects into national plans and strategies together with national partners.²⁶

The fact that the score for sustainability is the lowest among the parameters under this outcome may be attributed to the scale of the challenges Uzbekistan is facing in the environmental sector, and to the overall funding constraints. UNDP's project to "strengthen efficiency and sustainability of the newly established Lower Amu Darya State Biosphere Reserve" can be cited as a positive example of how sustainability can be attained with the help of Government legislation and funding.



COHERENCE: Respondents to the survey rated the coherence, clarity and logical consistency of UNDP's efforts under this outcome at 3.4 out of 5 on average, which is the upper limit of the 'as expected' category, and the highest of the six scores on coherence. The UNDP environment team explained this by referring

to the special attention that has been paid to conducting proper assessments, to inform realistic targeting, as the basis for genuine results based management. This is not to say that there isn't further room for improvement, e.g. by reaching out to other parts of UNDP and the UNCT, not least for joint assessments and M&E.

The Executive Editor of Saiga News, Elena Bykova summed it up very well: "It is essential that all stakeholders contribute to data collection, assessments and analyses on the base of internationally recognized methodological standards, so that we can apply our own lessons-learned and share them with our partners."²⁷

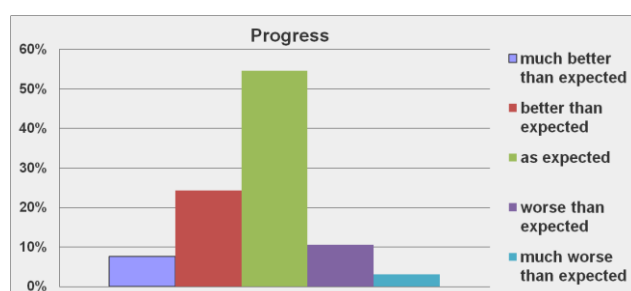
²⁵ Michael Succow Foundation for the Protection of Nature, National Representative, Rustam Murzakanov, 26 September.

²⁶ Hydrometeorological Service under the Cabinet of Ministers, Deputy Head of Pollution Monitoring Service, Alexandr Merkushkin, 25 September 2013.

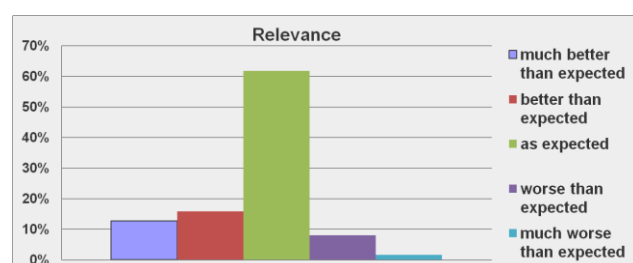
²⁷ Saiga Conservation Alliance, Executive Editor of Saiga News, Elena Bykova, 27 September 2013.

2.4. Preparedness and responsiveness to natural disasters strengthened²⁸

As is often the case in UNDAFs and UNDP CPAPs, it is difficult to integrate disaster risk management in the broader programming framework, as there is usually only a single project with comparatively modest funding being conducted (as is currently the case in Uzbekistan). The solution most often is to create a separate outcome, albeit one that may lead a somewhat peripheral existence.

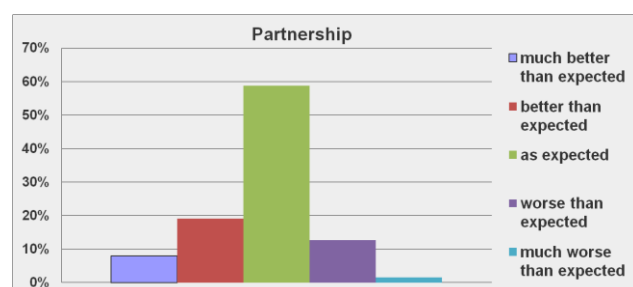


PROGRESS: Respondents to the survey rated UNDP's progress towards this outcome at 3.2 out of 5 on average, which is above the midpoint of the 'as expected' category. While progress was relatively slow in the initial stages to the single project UNDP currently has ongoing under this outcome, the somewhat protracted consultations have proven to be worthwhile, and the project appears to have gained traction, reaching out to a broad public via an application for mobile phones for disaster awareness and individual response, but focusing above all on strengthening disaster risk management capacity in the Ministry of Emergency situations.



RELEVANCE: Respondents to the survey rated the relevance of UNDP programming under this outcome in terms of Uzbekistan's current development needs at 3.3 out of 5 on average, which is close to the upper limit of the 'as expected' category. Disaster risk management is indeed particularly relevant to

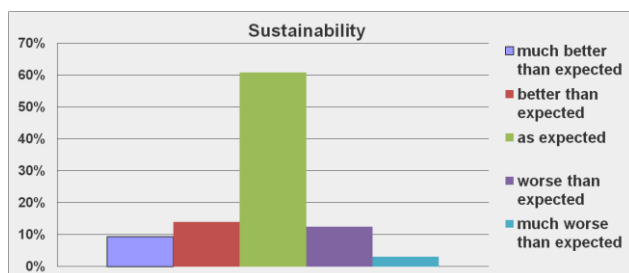
the needs of Uzbekistan and at the core of UNDP's competence and mandate. This is also underscored by the Government's prioritization and strong ownership of efforts in this sector, as documented by the 2011 Resolution # 208 of the Cabinet of Ministers on strengthening public awareness of and preparedness for emergency situations.



PARTNERSHIP: Respondents to the survey rated UNDP's efforts under this outcome to strengthen partnerships both with direct counterparts and other actors at 3.2 out of 5 on average, which is above the midpoint of the 'as expected' category. In face to face interviews, stakeholders pointed out that

UNDP has a particular responsibility to build and maintain partnerships in disaster risk management, given its strong relationship with key partners in the Government. In the second half of CPAP implementation, UNDP can do even more to reach out to partners both within the UN System and beyond, including among NGOs and civil society, as was the case e.g. for International Disaster Risk Reduction Day on 13 October 2013.

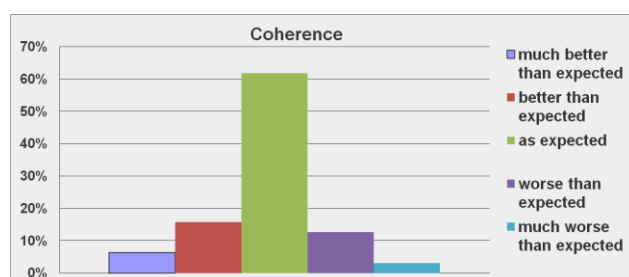
²⁸ While the assessment here, too, is based on interviews with UNDP and stakeholders in September & October 2013, the online survey in English and Russian, UNDP reports for CPAP roundtable discussion in September 2013, multiple documents on www.undp.uz and the desk review, unfortunately it was not possible to arrange a meeting with the main national counterpart in the four weeks of the evaluation's data collection phase.



SUSTAINABILITY: Respondents to the survey rated UNDP's efforts under this outcome to ensure sustainability, including via capacity building, at 3.1 out of 5 on average, which is just above the mid-point of the 'as expected' category. This is not a negative assessment, i.e. respondents on average reported that

UNDP was on track to achieve sustainable results by the end of the CPAP period; nonetheless, it is the lowest score in this component, so it may warrant particular attention in the second half of CPAP implementation. Concerns about a lack of sustainability in disaster risk management can perhaps best be countered by pointing out that the Government has taken strong ownership of efforts in this sector and consultations are under way to mobilize Government funding.

As one of the project's representatives observed: "One of the elements of strengthening the sustainability of our efforts is to focus on working with children and youth." This would also be a good entry point to strengthen partnerships, including within the UN family.



COHERENCE: Respondents to the survey rated the coherence, clarity and logical consistency of UNDP's efforts under this outcome at 3.1 out of 5 on average, which is just above the mid-point of the 'as expected' category. This is not a negative assessment, i.e. respondents on average reported that

UNDP was on track; nonetheless, it is the lowest score in this component. The concerns about a lack of coherence can perhaps be attributed to the difficulty of building disaster risk management into broad strategic frameworks at the outcome level as cited above; but respondents both in the survey and in direct interviews also highlighted the need for a more consistent, programme-based rather than project-focused approach, room for improvement in results-based management overall and M&E in particular, and opportunities to mainstream disaster risk reduction more consistently throughout all UN programming.

Component 3 – Good Governance²⁹

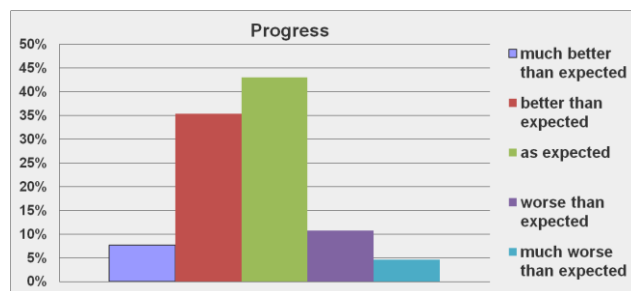
While the work of this component is to a degree hampered by the somewhat disparate set of projects collected under its umbrella (ranging from human rights and justice reform to border management, support for people with disabilities, social partnership, ICT, local governance, economic diplomacy, parliamentary development, to HIV/AIDS, TB and malaria, and to volunteerism), it epitomizes the many demands donors, host governments and stakeholders place on UNDP, and the unique flexibility and breadth of expertise UNDP can offer.

3.5. Enhanced accessibility, transparency, fairness of justice system and legislatures to promote rule of law, including increased harmonization of national legislation

While respondents under *all* outcomes tended to think primarily in terms of the projects they were most familiar with, under this outcome it was particularly difficult for respondents to refer to the results framework. Thus, responses under this outcome need to be viewed primarily as observations

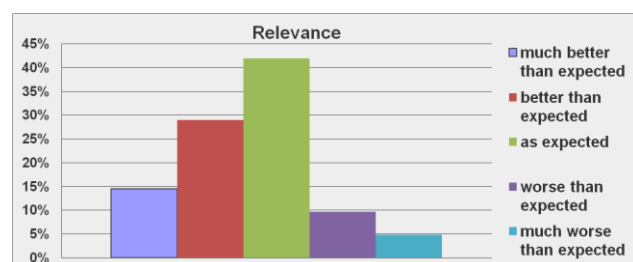
²⁹ Structured by CPAP outcome and key parameters assessed in interviews with UNDP and stakeholders September & October 2013, the online survey in English and Russian, UNDP reports for CPAP roundtable discussion in September 2013, multiple documents on www.undp.uz and the desk review – see annex for a selection of sources and list of meetings.

on a single project on Civil Justice Reform – in its own right, rather than in terms of a far more complex and multi-layered, ambitious outcome.



PROGRESS: Respondents to the survey rated UNDP’s progress towards this outcome at 3.4 out of 5 on average, which is the upper limit of the ‘as expected’ category. UNDP and project counterparts are proud of the pioneering efforts undertaken, and point out that with the technical assistance offered under this project only having commenced as of June

2012, it will take time before the strengthened institutional framework of civil courts will translate into more effective court management.



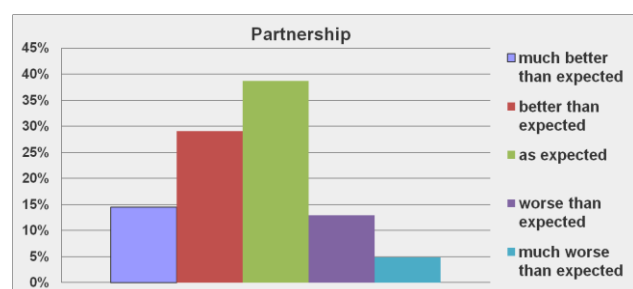
RELEVANCE: Respondents to the survey rated the relevance of UNDP programming under this outcome in terms of Uzbekistan’s current development needs at 3.2 out of 5 on average, which is above the midpoint of the ‘as expected’ category. This project does indeed appear to be particularly relevant to

the needs of Uzbekistan at this stage of its development, e.g. in terms of support to new legislation on civil process and the law on corruption prevention.

Responding to her own rhetorical question whether UNDP’s support was needed in Uzbekistan, the Chairperson of the Senate Committee on Legislation, Judicial and Legal Issues, Svetlana Artykova, arrived at a very clear conclusion: “We need to raise the standards of legislation and jurisdiction in Uzbekistan with the help of UNDP programmes.”³⁰

The relevance of UNDP’s programming was also underscored by other Government counterparts in face to face interviews. Thus, the Head of the MoLSP’s Social Protection Department remarked that “the legislation governing social services needs to be reviewed and modernized.”³¹

The project’s relevance could be increased even further, if UNDP could clarify the results framework and elevate its efforts in this field from an activity-centric project-focused approach to a more results-oriented programme approach.



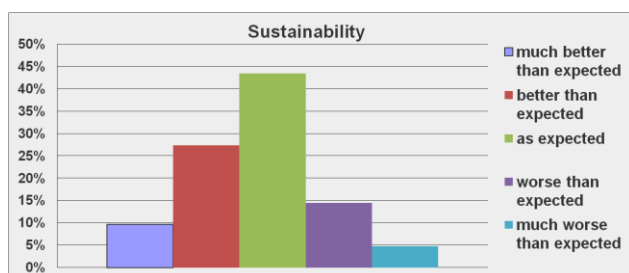
PARTNERSHIP: Respondents to the survey rated UNDP’s efforts under this outcome to strengthen partnerships both with direct counterparts and other actors at 3.2 out of 5 on average, which is above the mid-point of the ‘as expected’ category. Stakeholders in face to face interviews pointed out that UNDP

has a particular responsibility to build and maintain given its strong relationship with the three branches of power (legislative, executive and judiciary). While examples of strong partnerships were cited (e.g. with the Supreme Court, the High Economic Court, and USAID), UNDP can do even more to reach out to partners both within the UN System and beyond.

³⁰ Senate of the Oliy Majlis, Chairperson of the Senate Committee on Legislation, Judicial and Legal Issues, Svetlana Artykova, 14 October 2013.

³¹ Ministry of Labour and Social Protection, Head of Department on Social Protection, Bakhodir Sharapov, 14 October 2013.

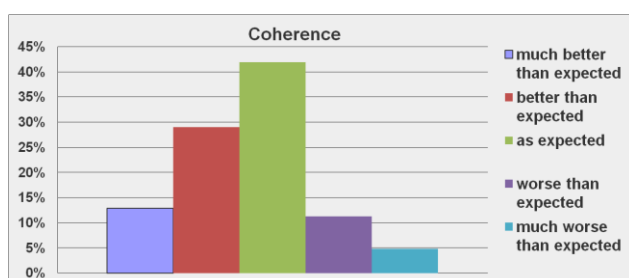
One of UNDP's closest partners in the Government pointed out that "at times, internal bureaucracy hampers implementation and slows down programming processes." Referring to hiring processes, he said "national partners should have a right to be heard in decisions regarding project leadership; in other words, recruitment procedures and the role of observers should be reviewed."³²



SUSTAINABILITY: Respondents to the survey rated UNDP's efforts under this outcome to ensure sustainability, including via capacity building, at 3.1 out of 5 on average, which is just above the mid-point of the 'as expected' category. This is not a negative assessment, i.e. respondents on average reported that

UNDP was on track to achieve sustainable results by the end of the CPAP period; nonetheless, this is among the lowest scores in the survey, so it may warrant particular attention in the second half of CPAP implementation. Concerns about a lack of sustainability under this outcome can perhaps best be countered by pointing out that the Government has taken strong ownership of efforts under the current project (Resolution of the Cabinet of Ministers #346 and Presidential decree #4570 on court administration and e-courts) and that the project has mobilized Government funding.

The advice of Deputy Rector Obid Khakimov will be particularly useful in this respect: "The procedures for re-allocating funds within project budget deserve to be reviewed, as usually it is extremely difficult to make any changes once a project has been approved; a more flexible approach to budgets is needed."³³



COHERENCE: Respondents to the survey rated the coherence, clarity and logical consistency of UNDP's efforts under this outcome at 3.2 out of 5 on average, which is above the mid-point of the 'as expected' category. This is not a negative assessment, i.e. respondents on average reported that

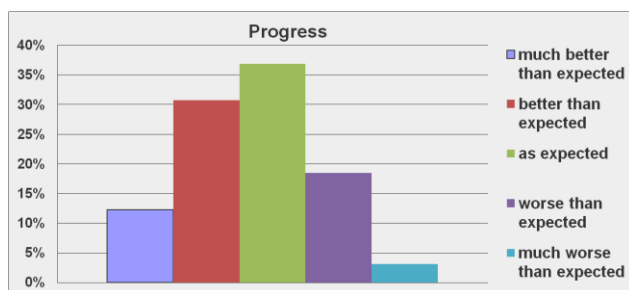
UNDP was on track; nonetheless, it is among the lowest scores in the survey. The concerns about a lack of coherence can be primarily attributed to the reasons cited above, i.e. the weakness of the results framework that was put together before the current leadership came on board; respondents both in the survey and in direct interviews also highlighted the need for a more consistent, programme-based rather than a project-focused approach, and the room for improvement in terms of results-based management overall, and M&E in particular.

³² Ministry of Foreign Affairs, Head of International Economic and Financial Organizations Division, Farhod Arziev, 16 October 2013.

³³ Academy for Public Administration, Deputy Rector, Obid Khakimov, 16 October 2013.

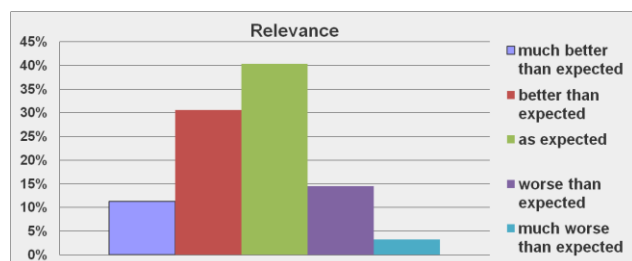
3.6. Strengthened public administration at all levels that exercises efficient, accountable and inclusive governance.

While this expected result is listed last in UNDP Uzbekistan's CPAP, it goes back to UNDP's global priorities in promoting effective and inclusive governance worldwide. With a baker's dozen projects under this outcome, eight of which are currently active and four of which run beyond the end of 2013, this is perhaps the most dynamic part of UNDP's programming in Uzbekistan.



PROGRESS: Respondents to the survey rated UNDP's progress towards this outcome at 3.4 out of 5 on average, which is the upper limit of the 'as expected' category. Indeed UNDP can point to many achievements under this outcome. The project teams and their partners are proud of 'ground-breaking initiatives in public administration reform,' including the e-government master plan, One-Stop-Shops, and

information centers under municipalities. To what degree public administration has been strengthened by UNDP's interventions, i.e. to what governance has become more accountable, efficient and inclusive is impossible to gauge based on the information available.

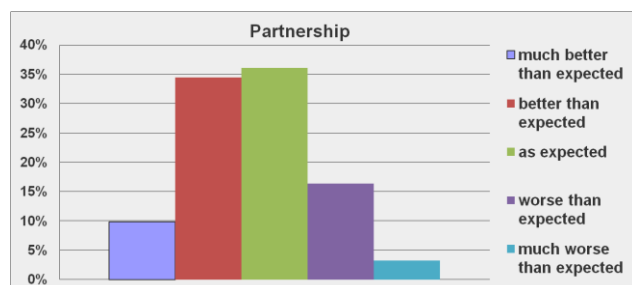


RELEVANCE: Respondents to the survey rated the relevance of UNDP programming under this outcome in terms of Uzbekistan's current development needs at 3.4 out of 5 on average, which is the upper limit of the 'as expected' category. This outcome does indeed appear to be particularly relevant to the needs of Uzbekistan at this stage of its

development and it is particularly close to UNDP's core competence.

As the Government's senior counterpart at the roundtable meeting in September emphasized, "it is of paramount importance to consolidate initiatives to provide for well-balanced governance, particularly via further improvements of the legislation and with a renewed effort to promote the concept of human development."³⁴

The relevance of UNDP's work is also underscored by the Government's requests for further support under this outcome, e.g. by scaling up and rolling out pilots such as the One-Stop-Shops and information centers. Relevance could be increased even further, if UNDP could clarify the results framework and elevate its efforts in this field from an activity-centric project-focused approach to a more results-oriented programme approach.



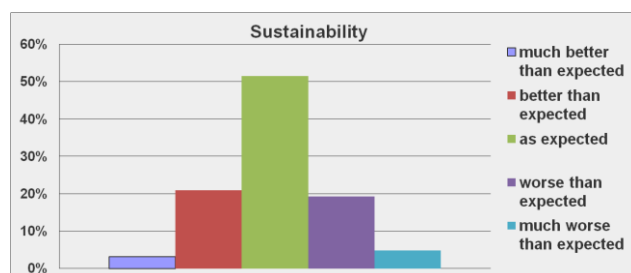
PARTNERSHIP: Respondents to the survey rated UNDP's efforts under this outcome to strengthen partnerships both with direct counterparts and other actors at 3.4 out of 5 on average, which is the upper limit of the 'as expected' category. Stakeholders confirmed in interviews that UNDP has a particular responsibility to build and maintain

partnerships given its broad mandate and strong relationship with Government and non-government counterparts.

³⁴ Senate of the Oliy Majlis, Chairperson of the Senate Committee on Foreign Relations – Sodiq Safaev, 25 September 2013.

As the chairperson of the National Association of Non-governmental Non-profit Organizations in Uzbekistan put it, “UNDP is especially well-placed to connect NGOs and NPOs to the work of the administration via the implementation of joint projects.”³⁵

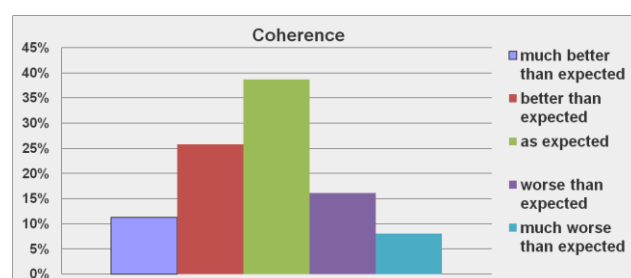
While many examples of strong partnerships were cited (e.g. with the Cabinet of Ministers, NIMFOGO, and the Academy of Public Administration), UNDP can do even more to reach out to partners both within the UN System and beyond.



SUSTAINABILITY: Respondents to the survey rated UNDP’s efforts under this outcome to ensure sustainability, including via capacity building, at 3.2 out of 5 on average, which is above the mid-point of the ‘as expected’ category. This is not a negative assessment, i.e. respondents on average reported that UNDP was on track to achieve sustainable

results by the end of the CPAP period; nonetheless, it is a relatively low score, so it may warrant particular attention in the second half of CPAP implementation. Concerns about a lack of sustainability under this component can perhaps best be countered by pointing out that the Government has taken strong ownership of efforts under the current project and has provided co-funding.

In the words of the represent of the National Centre for Human Rights at the roundtable: „We need to further develop the efforts on e-governance, with particular attention to the sustainability of these projects.”³⁶



COHERENCE: Respondents to the survey rated the coherence, clarity and logical consistency of UNDP’s efforts under this outcome at 3.3 out of 5 on average, which is close to the upper limit of the ‘as expected’ category. This is somewhat surprising if viewed against the background of a weak results framework that has consequently not

really been utilised by the governance team. As described above, the weakness of the results framework stems partly from the fact that it was put together before the current leadership came on board; respondents’ observation applies that there is a need for a more consistent, programme-based rather than a project-focused approach, and room for improvement in terms of results-based management overall, and M&E in particular.

³⁵ National Association of Non-governmental Non-profit Organizations in Uzbekistan, Chair, Abdumajit Karimov, 25 September 2013.

³⁶ National Centre for Human Rights, representative, 25 September 2013.

Chapter 5: Conclusions and recommendations

Conclusions:

A) **General:** A clear demand exists for UNDP to build on its reach at the central, sub-national and local level, on its broad capacity and international expertise, and the trust it has built over twenty years with Government and non-government partners, to help Uzbekistan make the most of international development support in this crucial period of transition.

B) **Economic Governance:** This component combines some very successful elements that deserve to be scaled up (especially at the community level and in terms of income generation) and better synergized with each other and beyond. In line with UNDP's global mandate and specific strengths in Uzbekistan, the team could do more to enhance the focus on the aspects of the expected results that are currently less strongly emphasized: Working with counterparts at the sub-national and local level to improve the welfare of vulnerable groups implies defining these vulnerable groups better, engaging with them more directly, and monitoring their welfare more effectively.

C) **Environment and Energy:** UNDP's work under this component underscores the crucial importance of a clearly defined and communicated role, and highlights the positive multiplier effects an emphasis on genuinely inclusive partnerships can have on programme design, implementation and reception. This by no means implies that the challenges in this sector are less acute than in the others covered by this CPAP, but it does indicate that UNDP Uzbekistan has clear, strong examples in its current programming that can help it make the second half of the CPAP even more relevant and successful based on greater clarity and a commitment to more genuinely inclusive partnerships.

D) **Good Governance:** This component of the CPAP is the most diverse and dynamic; that also makes it less clear and harder to measure than the others. There has been some high-visibility progress on numerous initiatives, including the piloting of innovative tools in e-government, and a number of legislative frameworks that have been improved. This is the part of UNDP programming that works most closely with the Government; consequently this component struggles with some of the very same constraints, including e.g. the absence of a single designated Government agency to lead Public Administration Reform.

E) **Cross-cutting issues** (Gender; capacity building / ownership): UNDP Uzbekistan has paid a lot of attention to promoting gender equality. Every counterpart immediately emphasized how gender was taken into account in joint efforts with UNDP. Nonetheless, gender equality has been and remains a major issue in Uzbekistan, and UNDP and its partners will continue to have to review how the underlying patterns and causes of inequality can better be addressed. The feedback on UNDP capacity building has also been very positive, underscoring strong national ownership; more consistent efforts at monitoring effectiveness and sustainability would be particularly useful in this area.

F) **Partnerships; knowledge management; sustainability:** Existing partners are very positive in their feedback, which can be attributed to a strong emphasis on relationship management in UNDP Uzbekistan projects; more can be done to make UNDP's partnerships more inclusive and to integrate them more strongly with a programme-based rather than project-focused approach. Knowledge management tools (e.g. websites) appear to work well during projects' life cycle, i.e. as long as they are maintained via dedicated UNDP funding, but more can be done to ensure sustainability, including by integrating these tools better, rather having them exist only in relation to individual projects.

G) **Resource mobilization:** Despite a challenging environment with per capita ODA well below levels in comparison countries, UNDP Uzbekistan has been successful in overcoming constraints in donor funding compared to other development agencies, and has mobilized Government contributions and secured Government-led scaling up of successful pilots.

H) **Comparative advantage & communication:** UNDP is one of the most trusted development partners of the Government, with a broad mandate on human development and the capacity and international expertise to deliver highest-quality support. Among the key strengths supporting this comparative advantage has been effective communication, above all via electronic media.

Recommendations

A) **Capacity for responsiveness:** In line with the new strategic plan at the global level, the team in Uzbekistan should increase UNDP's capacity for more integrated, cross-sector policy advice and programming and to intensify interaction with government and nongovernment counterparts. Thus, there should be fully empowered senior UNDP management both on the programming and the operations side, plus a seasoned adviser on how to accelerate the shift from a project-focused to a programme-based approach and on more effective results-based management.

B) **Inclusive growth:** The Economic Governance team should combine its projects that are designed to help improve the business environment into a more comprehensive approach to reach those most in need of support. Focusing more explicitly on the most vulnerable³⁷ (especially beyond Tashkent), is both in line with international best practice on economic development in advanced transition environments, and is very strongly anchored in the UN human development mandate.

C) **Sustainable development:** The Environment and Energy team can build on the success of its programming since 2010 to promote a more integrated approach to assessments and programming within UNDP and among its partners. Among others, this would imply a concerted initiative to mainstream the environmental perspective (including, but not limited to assessments of environmental impact, resilience to climate-change, and disaster risk) throughout all development efforts, including through the corporate environmental and social screening procedure.³⁸

D) **Coherence:** The Good Governance team should use the particular breadth of its portfolio to reach out across projects and programmes in UNDP, the UNCT and among partners to more consistently utilize the strong cooperation between the Government and UNDP to connect high-level policy and legislative reform with more advocacy for policy changes and effective implementation at the local level, especially in terms of public administration and civil service reform. Building on the trust UNDP has garnered in Government and on the standing it has internationally, UNDP Uzbekistan is well placed to continue to lead support to the Government on the implementation of the Universal Periodic Review.

E) **UN mandate and identity:** As the UN programme mandated to support the UN Resident Coordinator System, UNDP Uzbekistan should continue to consistently remind UN staff and counterparts of the breadth and depth of the UN mandate on human development. This means above all, that all programmes should work together on building greater awareness and on strengthening the linkages between programmes, both internally and externally, especially to promote women's empowerment and the central elements of human-rights-based human development.

F) **Inclusiveness & sustainability:** A key ingredient for success lies in reaching out beyond established (project-focused) partnerships to build broad (programme-based) support for human development. As such a vital portion of UNDP's contribution is knowledge-based, UNDP Uzbekistan should ensure the consistent institutionalization of knowledge management efforts. UNDP's most sustainable efforts have been designed from the outset to work on handing over responsibility to counterparts and building the full capacity to lead implementation via national mechanisms.

G) **Innovative joint mechanisms:** Continuing and expanding successful initiatives with the Government, UNDP Uzbekistan should increase UN capacity to swiftly respond to new development programming opportunities;³⁹ beyond the UN Joint Programme, this implies sharing and jointly utilizing capacity more between UN agencies and partners, for assessments, resource mobilization and monitoring and evaluation. Responding to the Government's request, UNDP should continue to help the Government shape the donor environment. Building on the trustful relations with the Government, UNDP should strive to increase Government cost sharing. In addition, UNDP should diversify its partnership base to mitigate reliance on a limited number of donors, including via new opportunities with non-traditional donors and the private sector.

³⁷ See e.g. <http://www.undp.uz/en/about/uzbekistan.php>

³⁸ See e.g. https://info.undp.org/global/.../ESSP_Guidance_19Mar12_English.docx

³⁹ See e.g. <http://www.undp.org/content/ukraine/en/home/presscenter/articles/2013/11/16/undp-global-meeting-sets-agenda-for-innovation-and-progress/>

H) **Effectiveness:** Based on its comparative advantage as a very broadly mandated UN programme that works very closely with the Government, UNDP can help facilitate international support on sustainable human development (e.g. under the Government's emerging Vision 2030, the MDGs and the global development goals that will succeed them). UNDP is particularly well placed to serve the Government and all the people of Uzbekistan, including by connecting to top-level international expertise and development experience in the 177 countries the United Nations Development Programme is active in.

Objective and Scope of the Evaluation

Outcome evaluations are strategic and important to UNDP as the organization strives to make a difference through its contribution to the attainment of national outcomes.

The objective of this mid-term evaluation is to assess the progress towards the above six Programme Outcomes and the extent to which UNDP has contributed to these outcomes through its project and non-project activities. The evaluation will consider the scope, relevance, efficiency and sustainability of UNDP support. Based on this assessment, the evaluation will make recommendations on how UNDP could improve the prospects of achieving these outcomes through adjusting its programming, partnership arrangements, resource mobilization strategies, working methods or management structures. The results of the outcome evaluation will be used for re-adjusting the interventions during the remaining period of the current CP (as necessary) and guiding future programming of a similar nature.

Specifically, the outcome evaluation should address the following issues:

Outcome analysis

- Are the stated outcomes and indicators appropriate for the development situation in Uzbekistan?
- What and how much progress has been made towards the achievement of the outcomes (including contributing factors and constraints)?
- What are the main factors (positive and negative) that affect achievement of the outcomes?
- Are UNDP's contributions to the achievement of the outcomes appropriate, sufficient, effective and sustainable?
- How has UNDP observed its commitment to cross-cutting issues of gender mainstreaming, capacity building and knowledge management?
- Are the monitoring indicators appropriate to measure achievement of the outcomes or is there a need for improvement?

Output analysis

- Are the UNDP outputs relevant to the corresponding outcomes?
- What progress was made in terms of the achievement of UNDP outputs (including an analysis of both project activities and soft-assistance activities⁴⁰)?
- What are the key outputs that have been or that will most likely be produced by UNDP to contribute to the outcomes?
- What are the factors (positive and negative) that affect the accomplishment of the outputs?

Output-outcome link

- Can UNDP's outputs or other interventions be credibly linked to the achievement of the outcomes (including the key outputs, projects and soft assistance that contributed to the outcome)?
- What has been the role of UNDP soft assistance activities in helping achieve the outcomes?

Strategic Positioning

- Is the CO positioned to meet partner needs by offering specific, tailored services to these partners, creating value by responding to partners' needs, mobilizing resources for the benefit of the country, demonstrating a clear breakdown of tailored UNDP services and having comparative advantage relative to other development organizations?

Relevance

- Is UNDP support is relevant to the Uzbekistan development agenda and national development

⁴⁰ For UNDP, soft assistance activities include advocacy, policy advice/dialogue, and facilitation/brokerage of information and partnerships.

priorities as articulated in UNDAF?

Efficiency

- Are there any gaps in terms of time, resources, capacities, etc. that may prevent the achievement of the outcomes?
- How do UNDP practices, policies, decisions, capabilities affect the achievement of the outcomes?
- To which extent existing M&E system contributes to the programme efficiency?
- Are there any synergies between UNDP, other UN Agencies and donors?

Effectiveness

- Is UNDP support is effective in producing results at the local and national levels?
- To which extent UNDP supports human and institutional capacity building of partners and policy advisory services in Uzbekistan?

Sustainability

- To which extent UNDP-established mechanisms ensure sustainability of interventions?

Resources, partnerships and management analysis

- Is UNDP's resource mobilization / partnership strategy appropriate and likely to be effective in achieving the outcomes?
- What partnerships have been formed? What has been the role of UNDP?
- What is the level of stakeholders' participation?
- Is there partnership among UN Agencies and other donor organizations?
- Are UNDP's management structures and working methods appropriate and likely to be effective in achieving the outcomes?
- Overall, assessment of the scope, relevance, efficiency and sustainability of UNDP's resource mobilization, partnership and management arrangements in achieving the outcomes.

Recommendations and lessons learnt

- Based on the above analysis, advise how UNDP should adjust its programming, partnership arrangements, resource mobilization strategies, working methods and/or management structures to ensure that the proposed outcomes are fully achieved by the end of the CP period
- Provide recommendations on how UNDP should adjust its country programme to ensure better alignment of its outcomes with UNDAF and national priorities.
- Provide recommendations on how the programme can most effectively continue to support the Government and civil society in the attainment of national development goals in a medium to long-term perspective.
- Provide recommendations on how UNDP can better fulfill its commitment to key programming principles and cross-cutting issues (gender mainstreaming, knowledge management, result-based management, capacity building, human-rights based approach and environmental sustainability).
- Assess possible links to the existing programmes of other UN Agencies and international organizations.
- Summarize the main lessons from the outcome evaluation that may have universal validity.

Methodology/Evaluation Approach

Overall guidance on outcome evaluation methodologies is provided in the *UNDP Handbook on Monitoring and Evaluation for Results* and the *UNDP Guidelines for Outcome Evaluators*.

Based on these guiding documents, and in consultation with UNDP Uzbekistan, the evaluation team is expected to develop a suitable methodology for this outcome evaluation. While deciding on the specific evaluation methodology is the responsibility of the evaluation team, the following elements should be taken into account for the gathering and analysis of data:

- Desk review of relevant documents;
- Discussions with the UNDP Uzbekistan Senior Management and programme staff;
- Interviews with and participation of partners and stakeholders (ensuring inclusive representation of different groups: women, men, persons with disabilities, minorities); and
- Site visits to selected key projects as necessary.

Evaluation Team composition and required competences

The evaluation team shall consist of 4 consultants: an International consultant (Team Leader) and three national consultants. The Team Leader (International) will have the responsibility for the overall co-ordination of the evaluation and for the overall quality and timely submission of the evaluation report to the UNDP DRR.

Distribution of responsibilities:

Responsibilities of International Consultant / Team Leader (1) will include:

- Documentation review
- Leading the evaluation team in planning, conducting and reporting on the evaluation.
- Deciding on division of labor within the evaluation team.
- Use of best practice evaluation methodologies in conducting the evaluation
- Leading presentation of the draft evaluation findings and recommendations in-country
- Conducting the debriefing for UNDP and Partners
- Leading the drafting and finalization of the evaluation report

Responsibilities of National Consultants (3) will include:

- Documentation review
- Informing on the social, economic and political context
- Contributing to the development of the evaluation plan and methodology
- Conducting those elements of the evaluation determined by the lead consultant
- Contributing to presentation of findings and recommendations at the wrap-up meeting
- Contributing to the drafting and finalization of the evaluation report.

Implementation Arrangements, Timeframe and Reporting

To facilitate the outcome evaluation process, UNDP Uzbekistan will set up an Evaluation Focal Team (EFT). The EFT will assist in connecting the evaluation team with the senior management, key stakeholders and provide both substantive and logistical support to the evaluation team, ensure organization of meetings/site visits and comment on the draft evaluation report. The gender balanced team will include Deputy Resident Representative (DRR), National Programme Officer on Partnership, Head of Economic Governance Unit, Head of Good Governance Unit, Head of Environment and Energy Unit, Gender focal point, Resource Management Unit, and one staff member from the Operations Unit. The DRR with support of the EFT members will assist the evaluation team to develop a detailed plan for the evaluation; organize meetings and conduct site visits; and identify key partners for interviews by the evaluation consultant. However, the evaluation team will be fully independent and will retain flexibility to determine the best approach in collecting and analyzing data for the outcome evaluation.

The evaluation will be conducted during 16 September 2013 to 6 November 2013, including the time required for evaluation report drafting and finalization as per the mission schedule.

The evaluation team will seek direction and guidance primarily from the senior management of UNDP Uzbekistan. The implementing agencies and partners shall cooperate and may be requested to assist the evaluation team in providing necessary inputs to complete the evaluation exercise. The evaluation team shall present the evaluation report to UNDP Uzbekistan.

Annex 2: Documents reviewed

1. UN/UNDP Uzbekistan documents

- UN Development Assistance Framework (UNDAF), 2010-2015
- UNDP Country Programme Action Plan (CPAP), 2010-2015
- Common Country Assessment, 2008
- UNDAF 2005-2009 Evaluation Report
- Assessment of Development Results (2009)
- UNDAF reports for Y2010-2012
- UNDP Global/Regional Strategies and UNDP Uzbekistan Gender Equality Strategy 2010-2015

2. UNDP Corporate Policy documents

- Handbook on Monitoring and Evaluation for Results
- UNDP Guidelines for Outcome Evaluators
- UNDP Results-Based Management: Technical Note
- Practical guide on gender mainstreaming
- Standard Operating Procedures;
- Internal Control Framework

3. Reports and other available materials of the projects for evaluation:

- Project documents;
 - Project quarterly and annual reports, PR and outreach materials;
 - Evaluation reports :
- 1) Mid-term evaluation of "Support to Sustainable Development of Livestock Sector in Uzbekistan" project implementation towards effectiveness of the project outcomes and national priorities
 - 2) Independent evaluation of "Capacity Building for Clean Development Mechanism in Uzbekistan" project aimed at taking a stock of the achievements, impact and lessons learned, and identifying further capacity building needs
 - 3) Mid-term evaluation of "Strengthening Sustainability of National Protected Area System by focusing on Strictly Protected Areas" project
 - 4) Final project evaluation of "Support to ICT policy making and public administration reform in Uzbekistan" project
 - 5) Evaluation of the project implementation progress, assess its impact on Public-Private Partnership promotion and private sector development, an assessment of the need for capacity building of the Chamber of Commerce and Industry of Uzbekistan and formulation of recommendations for further support in the area of private sector development (Business Forum of Uzbekistan-I project)
 - 6) Mid-term Evaluation of the Project on "Achieving Ecosystem Stability on Degraded Land in Karakalpakstan and the Kyzylkum Desert"
 - 7) Final project evaluation of "ACCESS: promoting accessibility, civic consciousness, employment and social support for People with Disabilities" project
 - 8) Final evaluation of UNDP/GEF project on "Conservation of Tugai Forest and Strengthening Protected Areas System in the Amu Darya Delta of Karakalpakstan"
 - 9) Final Evaluation of UNDP/GEF project on "Strengthening National Capacity in Rio Convention Implementation through Targeted Institutional Strengthening and Professional Development"
 - 10) Evaluation of "Area Based Development" Programme (including TB Project)
 - 11) Evaluation of "Enhancement of Living Standards" Programme in Ferghana Valley
 - 12) Mid-term evaluation of "Promoting Energy Efficiency in Public Buildings in Uzbekistan" project
 - 13) Final evaluation of "Achieving Ecosystem Stability on degraded land in Karakalpakstan and the Kyzylkum Desert" project

4. Government of Uzbekistan documents:

- Welfare Improvement Strategy I and II;
- MDG Action Plan 2011-2015;
- Sector based strategic documents;
- National reports on UN conventions.

Annex 3: External stakeholders interviewed

Economic Governance Portfolio			
No	Organization	Name	Title
1	IMF	Mr John Zohrab	Regional Advisor on Public Financial Management
2	IMF	Omon Ganiev	Assistant to the Regional Advisor
3	Ministry of Finance	Mr. Ashrafkhanov Bakhrom	Deputy Minister of Finance, Head of Treasury
4	Ministry of Finance	Botir Nurmatov	Director of the training center under MF
5	Ministry of Finance	Bekbek Surimbaev	Head of Department
6	Institute for Forecasting and Macroeconomic Research	Farhod Jurahanov	Deputy Director
7	Chamber of Commerce and Industry	Alisher Shaykhov	Chairperson
8	IFC	Zafar Khashimov	Country Officer in Uzbekistan
9	State Committee of Uzbekistan on Privatization, Demonopolization and Development of Competition	Mr. Farukh Karabaev	Head of Department
10	World Bank in Uzbekistan	Mr. Eskender Trushin	Senior Economist
11	World Bank in Uzbekistan	Mr. Fazlitdin Rakhimov	Procurement Specialist,
12	UNICEF	Ulugbek Olimov	Officer
13	US Embassy in Uzbekistan	John Etcheverry	Economic and Commercial Officer
14	Ministry of Foreign Economic Relations, Investment and Trade	Mr. Akmal Kamalov	First Deputy Minister of Foreign Economic Relations, Investment and Trade

Environment & Energy Portfolio			
#	Organization	Name	Title
1	State Committee for Architecture and Construction	Mr. Mukhammadshokir Halhodjaev	Head of Department for monitoring the project activity of planning organizations
2	Ministry of Agriculture and Water Resources	Mr. Ravshan Mamutov	Deputy Head of Water Management Department
3	Center of Hydrometeorological Service under the Cabinet of Ministers	Mr. Alexandr Merkushkin	Deputy Head of Pollution Monitoring Service
4	State Committee for Nature Protection	Mr. Kamalitdin Sadikov	Deputy Chairman
5	State Committee for Nature Protection	Ms Nadejda Dotsenko	Head of Main Department of Atmosphere Protection / National Coordinator on Montreal Protocol on Ozone depleting substances
6	State Committee for	Mr. Alexandr Grigoryanc	Head of Republican inspection on

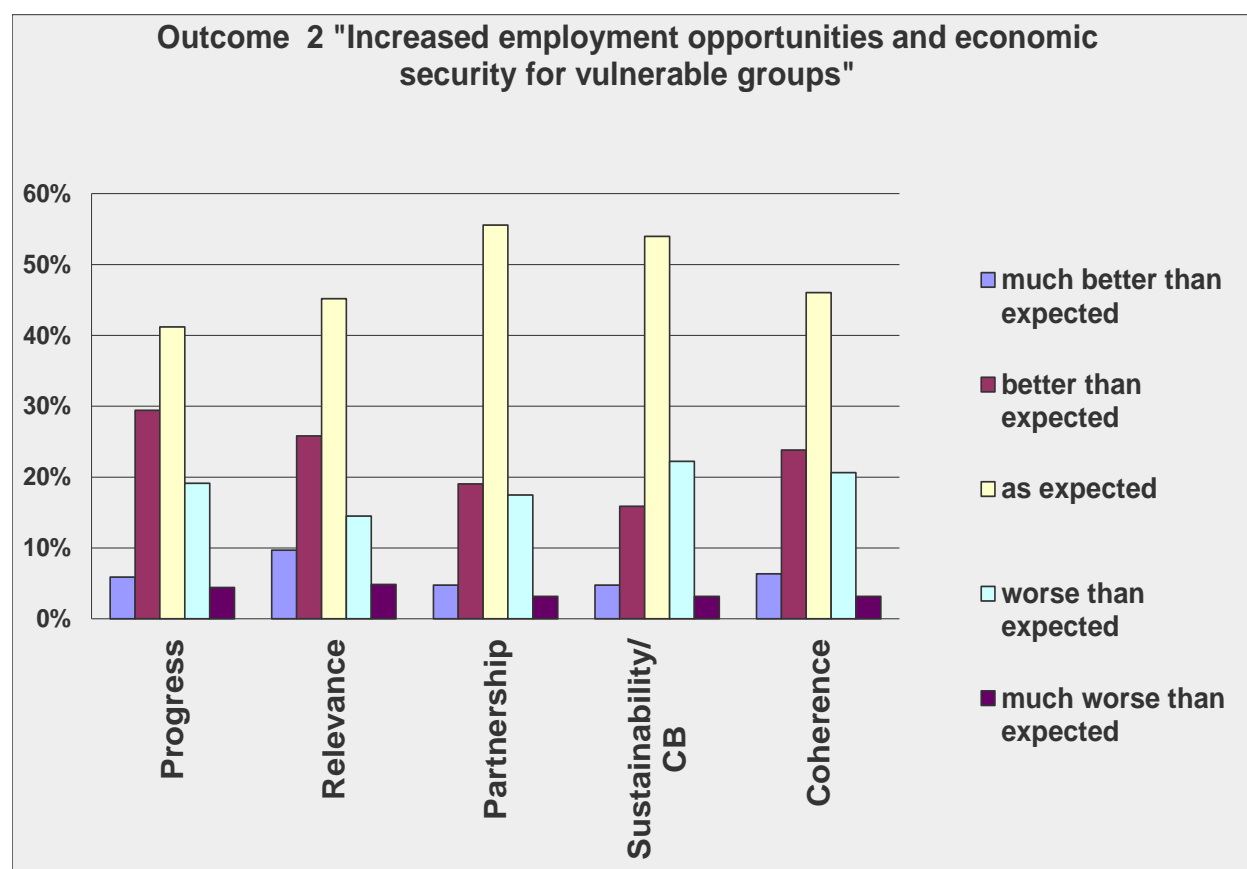
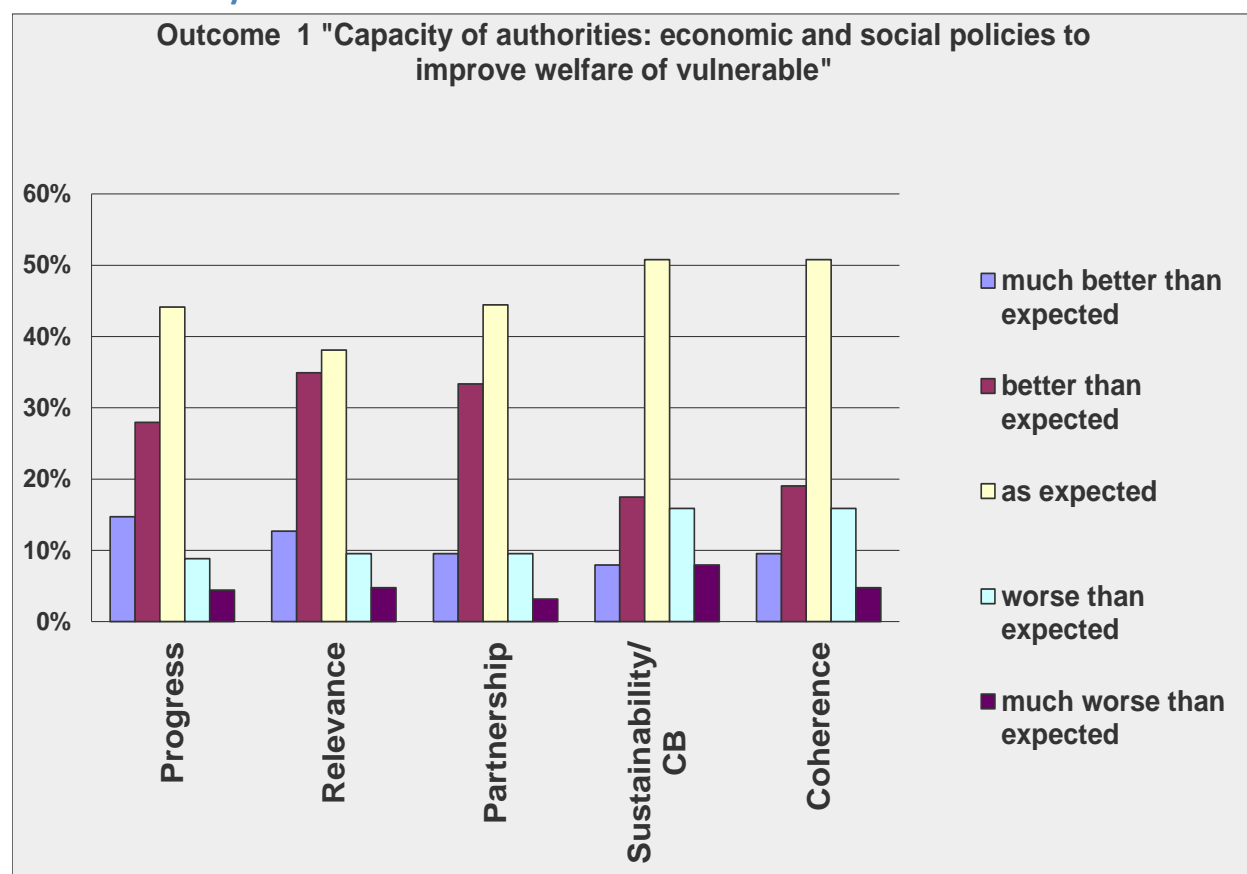
	Nature Protection		protection and rational use of animals and plants
7	Ministry of Economy	Mr. Shukhrat Ismailov	Head of Main Department
8	Michael Succow Foundation for the Protection of Nature	Mr. Rustam Murzakhanov	National Representative
9	Saiga Conservation Alliance	Ms. Elena Bykova	Executive Editor of Saiga News
10	Director of Uzbekistan branch	Mr. Tolip Sultanov	Regional Environmental Center for Central Asia
11	International Center for Agricultural Research in the Dry Areas	Mr. Zakir Khalikulov	Deputy Regional Coordinator
12	World Bank	Mr. Dilshod Khidirov	Senior Rural Development Specialist
13	Swiss Development Cooperation Office in Uzbekistan	Ms. Omina Islamova	Regional Water Sector Programme Manager
14	Swiss Development Cooperation Office in Uzbekistan	Mr. Shavkat Usmanov	Water User Association Specialist
15	Swiss Development Cooperation Office in Uzbekistan	Mr. Norboy Gaipnazarov	Institutional Development Specialist
16	US Embassy	Mr. Bakhtiyor Mukhammadiev	Scientific Affairs Specialist
17	US Embassy	Ms. Rayna Farnsworth	Third Secretary
18	Embassy of Israel	Ms. Yuliya Olkhovskaya	MASHAV Coordinator

Good Governance Portfolio			
No	Organization	Name	Title
1	Oliy Majlis of the Republic of Uzbekistan	Ms. Svetlana Artikova	Senator
2	Oliy Majlis of the Republic of Uzbekistan	Mr. Ostankul Mirzaev	Head of International Relations Department
3	Oliy Majlis of the Republic of Uzbekistan	Mr. Anvar Sadullayev	Head of Senate Apparatus
4	Namangan Regional Khokimiyat	Mr. Homithon Jalolov	Deputy Khokim of Namangan Region
5	Ministry of Labor and Social Protection of the Population of the Republic of Uzbekistan	Mr. Bakhodir Sharapov	Head of Department on Social Protection
6	Research Center under the Supreme Court of the Republic of Uzbekistan	Mr. Alijon Artikov	a.i. Chairman of Council on Civil Cases
7	Research Center under the Supreme Court of the Republic of Uzbekistan	Mr. Aziz Mirzaev	Head of International Department
8	Academy of Public Administration under the President of the Republic of Uzbekistan	Mr. Obid Khakimov	Deputy Rector
9	Academy of Public Administration under the	Mr. Kakhramon Yusupov	Dean

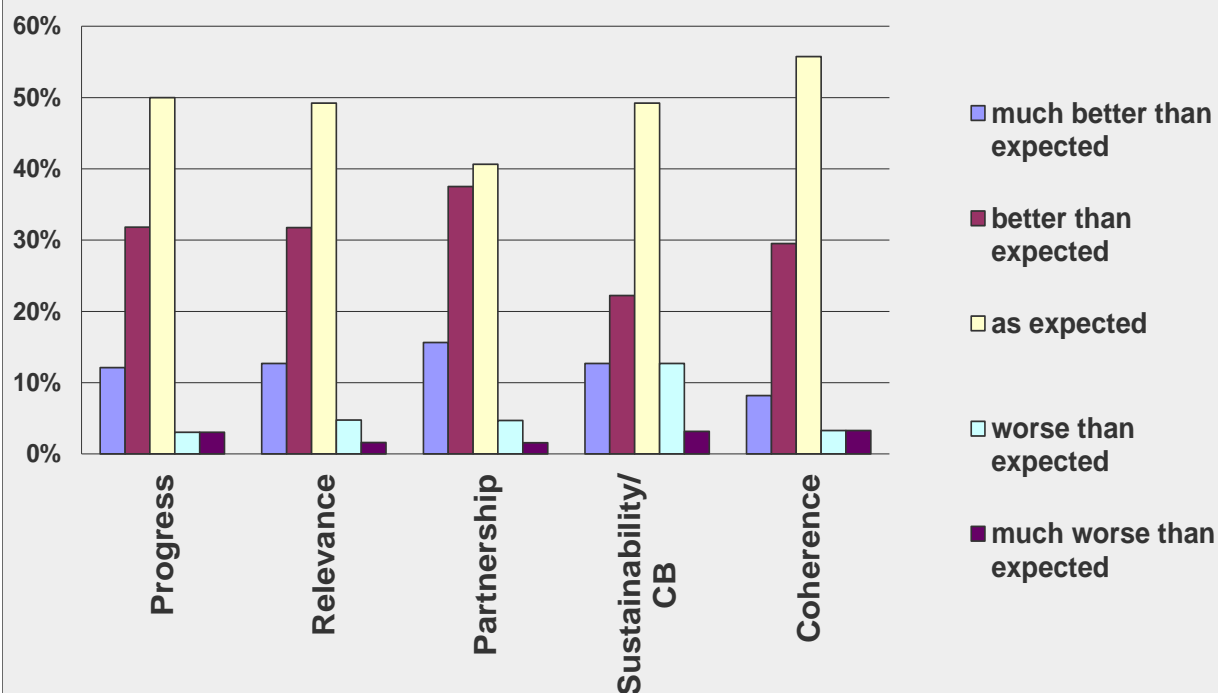
	President of the Republic of Uzbekistan		
10	Ministry of Foreign Affairs of the Republic of Uzbekistan	Mr. Farhod Arziev	Head of Division, Department for UN and International Organizations' Affairs
11	National Library of Uzbekistan named after Alisher Navoi	Mr. Alisher Eshmatov	Deputy Director
12	UNAIDS	Mr. Lev Zohrabyan	UNAIDS Coordinator
13	NGOs in the formation of developing of civil society, NIMFOGO	Mr. Erkin Salikhov	Director
14	NGOs in the formation of developing of civil society, NIMFOGO	Mr. Adham Hamdamov	Deputy Director
15	NGOs in the formation of developing of civil society, NIMFOGO	Mr. Alisher Akramov	Head of International Relations Department
16	NGOs in the formation of developing of civil society, NIMFOGO	Ms. Gulruksor Bustonova	Chief expert, Project on civil society institutions
17	NANNOUZ	Mr. Abdumadjid Karimov	Chairman
18	NANNOUZ	Ms. Nasiba Mirodilova	Deputy Chairperson on youth and gender
19	Informatization and Telecommunication Technologies of the Republic of Uzbekistan	Mr. Sherzod Shermatov	Deputy Chairman of the State Committee on Communications
20	NGO "Intilish"	Ms. Tatyana Nikitina	Director

Field Trip to Fergana Valley			
No	Organization	Name	Title
1	Namangan Regional Khokimiyat	Mr. Homithon Jalolov	Deputy Khokim of Namangan Region
2	Information Center and One Stop Shop at Namangan City Khokimiyat	Mr. Khasanboy Pulatov	Director
3	Farm enterprises "Chashmai Safed" (Kasansay Milk Collection Center)	Mr. Hamidhon Muydinhodjaev	Director
4	Women's Crafts Development and Trade Facilitation Center / Sewing production enterprise "Sanam Uychi"	Ms. Risliqhon Juraeva	Director
5	SGP / GEF project on Small scale production of the drip irrigation system,	Mr. Abdulvokhid Boltabaev	Farmer, Namangan region
6	Newly constructed energy efficient school No.25	Mr. Mirzaali Khaydarov	Director of the school

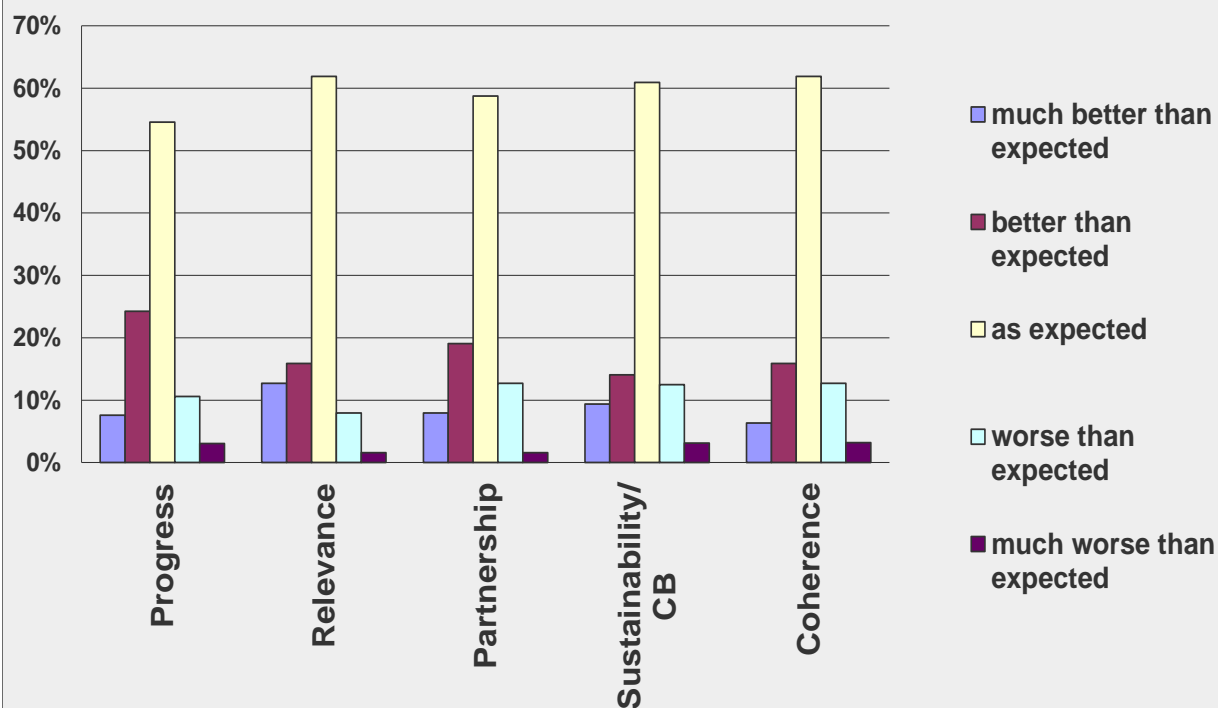
Annex 4: Survey results



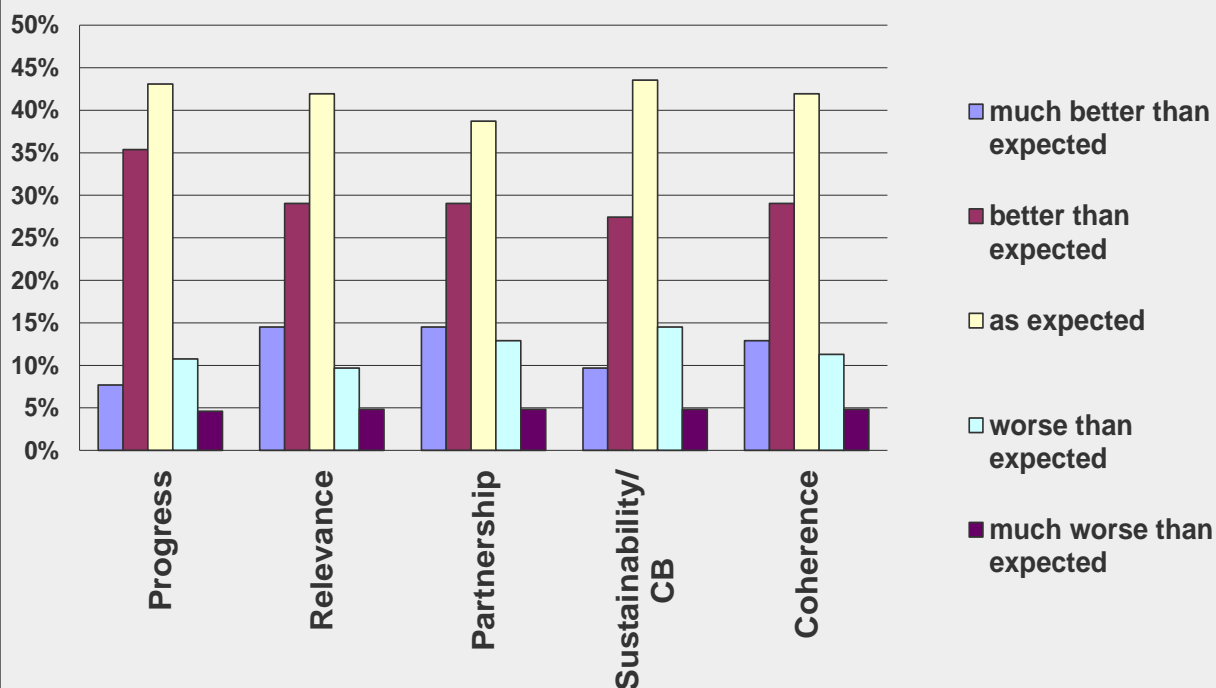
Outcome 3 "Institutional services: conservation & sustainable, equitable use of natural resources"



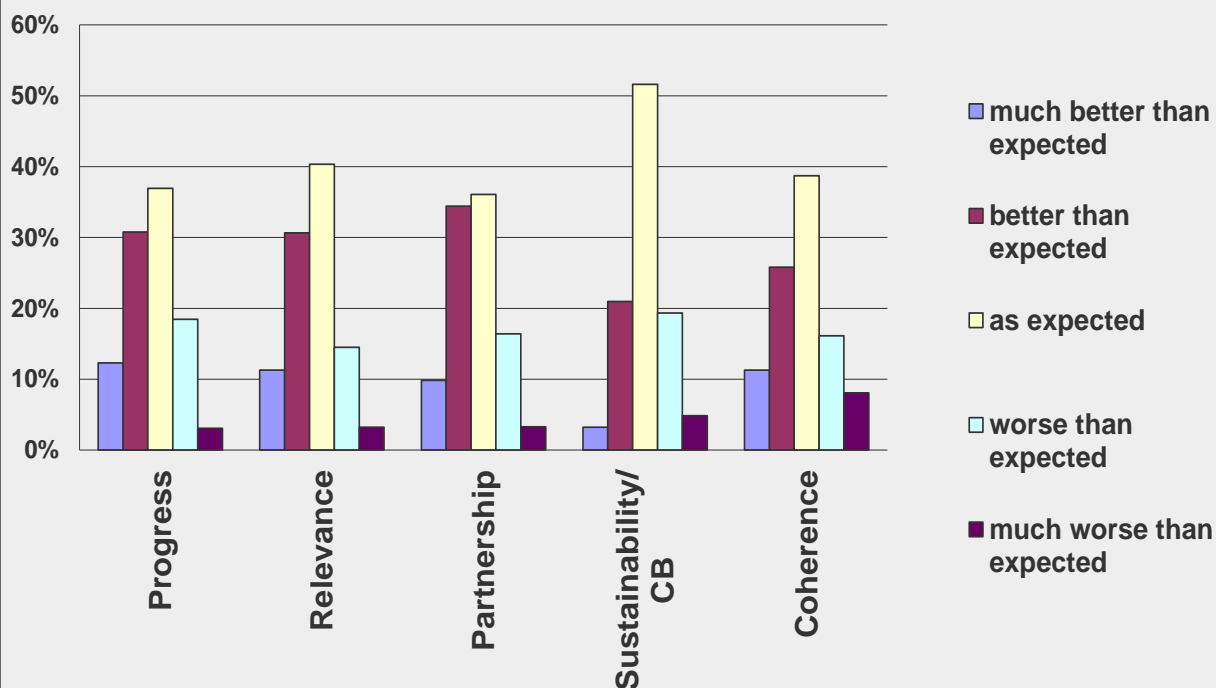
Outcome 4 "Preparedness and responsiveness to natural disasters strengthened"



Outcome 5 "Accessibility, transparency, fairness of justice & legislatures: rule of law & harmonization"



Outcome 6 "Strengthened administration at all levels: efficient, accountable and inclusive governance"



Annex 4: UNDP Projects by CPAP Outcome

Outcome	Project	Main description of the project	Status, location	Budget, in USD ⁴¹
Outcome 1: <i>Capacity of central and local authorities: economic / social policies to improve the welfare of vulnerable groups.</i>	Support to Reform Process , 2005-2012	Policy research, "Economic Review», and other publications.	Continued by SMART 1mn GoU	Total: 2,720,602 UNDP part: 1,688,011
	Capacity Building 4 Econ. Forecasting & Planning, national & local level 2009-15	Policy research, more technical (econometrics), publications	ONGOING	Total : 773,145 UNDP part: 723,145
	Statistical Capacity Building for MDG Monitoring & Reporting , 2006-10	Ended 03/2010.	Pre-CPAP	Total : 505,846 UNDP part: 479,680
	Teaching the Human Development Approach, 2008-2011	A textbook on Human Development, trainings, a summer school on Human Development	COMPLETE	Total : 702,660 100% UNDP funds
	Area Based Development Programme, 2007-2012	Consulting centers under Makhalas, resource centers & grants for business development; business skills for officials & makhalas, demo plots	COMPLETE Kashkadaria region & Republic of Karakalpakstan	Total : 4,212,280 100% UNDP trac funds
	Support to Innovation Policy & Technology Transfer , 2010-2012	Analytics, national program of innovation development, trainings on innovation, business plans, participation in fairs	COMPLETE	Total 562,566 100% UNDP funds
	CPAP Implementatn Support, 2010-2015	CPAP progress monitoring, disseminating information on UNDP	ONGOING	Total : 600,000 100% UNDP funds
	Strengthening aid coordination '09-11	Trainings, study tours, aid database, symposium, www.devoid.uz	COMPLETE	Total : 236,125 , 100% UNDP funds
	Budget System Reform , 2010-2013	Legislation, budget instructions, training center under MoF, trainings, seminars, study tours, policy papers	ONGOING	Total : 1,305,335
CP Outcome 2: <i>Increased employment opportunities and economic security for vulnerable groups</i>	Business Forum in Uzbekistan (2 phases), 2006-2013	Workshops, policy recommendations Support to CCI, trainings, guides for entrepreneurs. CCI Info ctrs, arbitrage courts, legislation, trgs www.exim.uz , www.franchising.uz www.arbitration.uz	Budget for 2005-2010-690200 USD (100% UNDP)	Total : 1,019,453 UNDP UZB: 750,000
	Support to the Microfinance Sector , 2009-2011	Legislation & trainings on microfin., support in preparation of regulations, software & to microfin organizations, small business support, community development	COMPLETE	Total : 582,457 100% UNDP.
	Strengthening foreign trade & investment (2 phases), 2005-2013	Policy papers, investment guides, study tours, site www.exporter.uz Trainings on foreign trade and investments.		The for 2010-2012 – 379750 . 100% UNDP
	Enhancement of Living Standards programme , 2008-2011	Training for local authorities' staff on local development and planning issues; financing of local communities. Local consulting ctrs; alt. energy	COMPLETE	Total for 2005-2009 is 3850000euro. UNDP funds – 350000euro.
	Accessibility, Civic Consciousness, Jobs & Social Support for PwD, '08-11 ACCESS	Info on rights of disabled people, trainings, 2 ICT centers, job fairs, social enterprises and other activities for people with disabilities.	COMPLETE	Finished. Total fund 890636. UNDP funds 863034
	UN JOINT PRGM: Sustaining Livelihoods Affected by Aral Sea Disaster 2012-2015	Advanced agricultural practice, cattle breeding; ecotourism; healthcare, TB, mother and child health; helping local communities achieve sustainable development: community development plans	Is being realized in 3 districts of Karakalpakstan ONGOING	Total : 4,161 449 UN HS TF
	Inclusive Employment, 2011-2014	MoLSP www.mehnat.uz , Legislation, research in gender, employment, social protection issues, PI. Employment 4 PwD (trgs, marketing, setting up social companies etc)	ONGOING	Total : 1,200,000 UNDP funds – 100%
3. <i>"Increased availability of institutional products and services for the conservation and sustainable and equitable use of natural resources"</i>	Achieving Ecosystem Stability on degraded land in Karakalpakstan and the Kyzylkum Desert, 2008-2013	Test, evaluate and promote innovative solutions to the problems of land degradation at a pilot scale. Activities on strengthening institutional and policy framework for integrated land use planning and management, capacity building events for governmental specialists and local community	Kyzyl Rovat (Bukhara Oblast) and Kazakh darya (Karakalpakstan)	Completed Total: 2 787 000 GEF: 950 000 UNDP:200 000
	Conservation of Tugai Forest and Strengthening Protected Areas System in the Amu Darya Delta of Karakalpakstan, 2005-	Establishment of a new mixed use protected area (a NP or Biosphere Reserve), fully incorporated into the Karakalpakstan protected areas system; new PA to encompass a mosaic of Tugai conservation and sustainable use	Karakalpakstan	Completed Total: 1 222 000 GEF: 970 000 UNDP:230 000

⁴¹ Budgets according to project documents, actual disbursement may differ

Outcome	Project	Main description of the project	Status, location	Budget, in USD ⁴¹
	2012	zones, demonstrating new collaborative approaches to conservation and natural resource management; and empowerment of local and regional government institutions and NGOs to effectively manage the NP/BR and support sustainable natural resource utilization.		
	Promoting Energy Efficiency in Public Buildings, 2009-2014	Development and application of new energy efficient standards and regulations in the educational and healthcare sectors; awareness raising of government and capacity building of design and construction professionals to design efficient buildings and manage their performance; demonstration of energy- and cost-saving potential of integrated building design in new buildings and reconstructed buildings.	Rishtan, Fergana Region, Karakalpacstan	On going Total: 13 584 765 GEF: 2 913 885 UNDP: 470 880
	Integrated Water Management and Water Efficiency Plan for Zarafshan River Basin, 2010-2013	Developing an Integrated Water Resource Management and Water Use Efficiency Plan for Zarafshan River Basin of Uzbekistan; strengthening the legal and regulatory framework for the water sector, and support the integration of water management issues into relevant inter-sectoral policies.	Tashkent; Pastdargom, Samarkand, Akdarya district, Karmana district and city Navoi.	On-going Total: 1 205 451 UNDP: 1 136 164.68
	Strengthening Sustainability of the National Protected Area System by Focusing on Strictly Protected Areas, 2008-2013	Developing of Master Plan for Protected Area System, guiding expansion; institutional and individual capacity built to enable expansion and improved management; demonstration of sustainable land use practices within NP/BR buffer zone; better understanding of biodiversity enables institutions, farmers, local and regional government institutions, NGOs and other stakeholders to manage protected areas in a participatory & sustainable manner.	Surkhan Strict Nature Reserve, Djizakh region	On-going Total: 2 215 000 GEF: 975 000 UNDP: 200 000
	Strengthening National Capacity in Rio Convention Implementation through Targeted Institutional Strengthening and Professional Development, 2009-2011	Introduction of new mechanism for coordinated environmental planning and management for SPEP and programming from environmental funds; improvement of professional capacity of the environmental institutions to develop, formulate and evaluate effectiveness of environmental programmes and plans; improved financial management of National Environmental Fund for increased global environmental financing; improved skills and knowledge of EF personnel to manage EF.		Completed Total: 640 000 GEF: 475 000 UNDP: 85 000 in kind
	Mainstreaming biodiversity into Uzbekistan's oil-and-gas sector policies and operations, 2010-2014	Mainstreaming biodiversity conservation principles in oil-and-gas sector through policy, legislative, and institutional environment development, demonstrating biodiversity mainstreaming technologies on the Ustyurt Plateau; development of GIS-based map, capacity building for State Committee for Nature Protection and oil-and-gas-sector.	Plateau Usturt	On going Total: 1 120 000 GEF: 950 000 UNDP: 170 000
	National Irrigated Land Reclamation Fund Capacity Development Project, 2009-2012	Activities on institutional strengthening and capacity building of LRF; improvement of project preparation and project appraisal, consistent with standards established by international financial institutions; legislation; pilot projects for demonstration the relationship between effective land reclamation activities and improvements in land quality	Fergana, Syrdarya	Completed Total: 749 252 UNDP: 679 052
	Support for Sustainable development of livestock breeding in Uzbekistan, 2007-2011	Better regulatory and institutional framework to enable livestock sector to function efficiently under market conditions; enhanced capacity of farmers through best management practices in livestock breeding for various categories of farmers (private, dekhani and households); increased efficiency of livestock production through service structures (artificial insemination, veterinary service) at local level.	5 pilot farms in Tashkent region	Completed Total: 425 525 UNDP: 420 025
	GEF Small Grants Programme operations (2 phases), 2008-2015	Strengthening knowledge management and sharing methodologies and approaches between the GEF SGP community-implemented projects and executing (governing) authorities on local and national level; Strengthening local		Phase 2- on-going Since 2008 GEF US\$ 1 554 686

Outcome	Project	Main description of the project	Status, location	Budget, in USD ⁴¹
		business buy-in for successfully piloted or possible technologies of sustainable resource use		Co-financing US\$ 1 045 456
	Strengthening Efficiency and Sustainability of the newly established Lower Amu-Darya State Biosphere Reserve (LABR), 2012-2013	Promoting sustainability of LABR via TA on planning, monitoring, and control; nominating of the LABR to be included into the World Network of Biosphere Reserves (WNBR) in the frame of UNESCO's MAB programme.	Karakalpakstan	Completed Total: 100 000 UNDP: 100 000
	National Biodiversity Planning to Support the implementation of the Convention on Biological Diversity (CBD) 2011-2020 Strategic Plan in Uzbekistan, 2012-2015	Participatory stocktaking exercise on biodiversity planning; developing national biodiversity targets in response to global Aichi Targets; update NBSAP to integrate CBD strategic plan, i.e. mainstream plan into national development frameworks, valuing ecosystem services and promoting ecosystem-based adaptation and resilience; develop natnl framework for resource mobilization, Convention reporting and exchange		On going Total: 370 000 GEF: 220 000 UNDP: 150 000
	Climate Risk Management in Uzbekistan	Strengthening institutional framework & tech. capacity to manage risks and opportunities of climate change at national, sub- national and local levels; improving strategies and legislation on resilience to climate change for priority sectors of economy and geographical regions; developing mechanism to coordinate and to secure long-term funding, dissemination of knowledge on risks posed by climate change	Kashkadarya region	On going Total: 800 000 UNDP: 200 000
	Supporting Uzbekistan in transition to a low-emission development path, 2011-2015	Enhancing national capacity for effective transition to low-emission development path through (i) proactive participation in the international climate change negotiations (ii) process design, resource-mobilization & implementation of low emission development strategies (LEDS), (iii) drawing on international carbon market finance, and (iv) integrating climate change mitigation activities (renewable energy) and carbon finance mechanisms	Khorezm, Syrdarya Region	On going Total: 1 186 500 UNDP: 950 500
CP Outcome 4: <i>Preparedness and responsiveness to natural disasters strengthened</i>	Strengthening Disaster Risk Management Capacities in Uzbekistan, 2010-2014	Strengthening MoES capacity to mitigate, reduce disaster and climate risks & respond; Expansion of community-based disaster risk reduction; strengthening UNCT capacity to create DRR support strategy; strengthening earthquake risk mitigation capacity		On going Total: 1 480 000
	Capacity Development for radioactive waste management & early warning in the Ferghana valley, 2011-2012	Curricula development for training centre for experts in radiation safety of Tashkent Inst. of Postgrad. Med. Education (TIPME); enhancing cost-effective training capacities of the TIPME; network of radiologists in the Fergana valley for demonstration of best practices.	Fergana Valley	Completed Total: 143 500 UNDP: 200 000
CP Outcome 5: <i>Enhanced accessibility, transparency, fairness of justice system and legislatures to promote rule of law, including increased harmonization of national legislation</i>	Development of capacities of the National Human Rights Institutions in Uzbekistan	To strengthen national capacities for promotion and protection of human rights and access to justice in Uzbekistan.	20.07.2009 30.07.2011	763 371 (UNDP) 709 666.54 (Donor Irex) 53 704
	Civil Justice Reform Project: Effective Court management (CJR: ECM)	To offer technical assistance to strengthen the institutional framework of the civil courts of Uzbekistan.	21.06.2012 – 21.12.2014	450 000
CP Outcome 6: <i>Strengthened public administration at all levels that exercises efficient, accountable and inclusive governance</i>	ACCESS: promoting Accessibility, Civic Consciousness, Employment, and Social Support for people with disabilities	To widen social integration and employment opportunities for people with disabilities.	15.08.2008 – 31.08.2010	415 000
	EU_UNDP Border Management Programme in Central Asia (BOMCA)	Capacity development for Integrated Border Management (IBM) through training and exposure to European best practices on IBM for all agencies involved in border management.	01.07.2011- 30.06.2014	1 264 716 Euro
	Joint capacity building for Central Asia AIDS control project	Regional CAAP project: strengthening the Government's capacity in managing and implementing project activities.	15.01.2010 – 31.12.2010	1 805 220 (RPMU) 1 705 220 (UNDP) 100 000
	Continuing Scale Up of the Response to HIV (most at	To prevent the spread of HIV into the general population by reducing its impact on at most	01.04.2011 – 31.12.2013	21 600 000

Outcome	Project	Main description of the project	Status, location	Budget, in USD ⁴¹
	risk) and Strengthening System and Capacity for Universal Access to HIV Prevention, Diagnosis, Treatment & Care	vulnerable populations and to strengthen health systems and national capacity for universal access to HIV prevention, diagnosis, treatment and care in Uzbekistan		21 300 000 (Global Fund) 300 000 (UNDP)
	Strengthening National Capacities to address emerging in fighting the spread of three diseases (AIDS, Tuberculosis and Malaria)	To support national partners, including members of the Multisectoral Expert Council and its secretariat, to half the spread of the three disasters through strengthening their oversight and coordination capacities.	28.11.2012 – 31.12.2013	328 001.80 177 117.80 (Donor GF) 150 884,00 (UNDP)
	Assisting the Government of Uzbekistan in the formulation and implementation of ICT for development policy (ICT policy project)	To support the development of ICT in Uzbekistan and to facilitate use of ICT by Government.	31.05.2005 – 31.12.2010	1 316 481 1 105 000 (UNDP) 11 481 (Private sector) 200 000 (DCTTF)
	Inclusive Employment and Social Partnership	To demonstrate tangible benefits of social partnership between CSOs and Ministry of Labour and Social Protection in the employment creation and social protection of vulnerable groups	11.04.2011 – 31.04.2014	1 200 000 Parallel funding: 200 000 000 UZS (Min Labour)
	“Local Governance Support: Participation and Partnership” Project	To promote Public Administration reform aimed at decentralized governance system through creating of enabling environment, policy advisory services and capacity building of civil servants; to enhance the partnership capacities of local governments with civil society and private sector	01.03.2010 – 31.12.2013	1 830 000
	National capacity development to enhance and effectively implement economic diplomacy policy	To assist Ministry of Foreign Affairs in preparation and implementation of a comprehensive program aimed at institutionalizing the economic diplomacy of the Republic of Uzbekistan	20.11.2012 – 31.12.2014	300 000
	Enhancing the Capacity of the Ministry of Foreign Affairs to Better Respond to the Emerging Issues of the new Millennium	To strengthen the capacity of the Ministry of Foreign Affairs to develop and implement the effective foreign policy.	01.05.2005 – 31.12.2011	1 083 242
	Parliamentary Development Assistance (PDA)	To render technical assistance on strengthening information and communication, and institutional base of informational and analytical activities of both Chambers of OliyMajlis of the Republic of Uzbekistan	17.08.2013 – 31.12.2013	800 000
	Social Innovation and Volunteerism in Uzbekistan	Creating an enabling environment for increasing the role of volunteers, developing their capacity and empowering them to participate in community development processes, through promotion of volunteerism and pioneering social innovation for social inclusion and development.	1.07.2012 – 31.12.2014	550 000 (UNV) 200 000 (DGTTF) 200 000 (UNDP) 150 000
	Empowering Communities through Local Volunteerism to address Poverty and Tuberculosis in Karakalpakstan	To build up and draw upon the support of 3000 local volunteers in five selected districts of the Karakalpakstan, to tackle high incidences of poverty and Tuberculosis through an integrated holistic approach.	01.2009 – 12.2011	618 364 (UNDP) 100 000 (UNV JTF) 373 204 (JTF) 38 160 (Norwegian MFA) 75 000 (Mahalla Comm.) 25 000 (WHO) 7 000