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Executive Summary

In response to the national priorities of the Republic of Kazakhstan, and in cooperation with the Government of the Republic of Kazakhstan, civil society and other stakeholders, the UNCT prepared the development framework for 2010-2015 which identified three strategic areas of priority:

- Economic and Social Wellbeing
- Environmental Sustainability
- Good Governance

Each of these priority areas contributes to the achievement of national goals and priorities as identified in the Development Strategy 2030 and Strategic Plan 2020 and assisted the citizens of Kazakhstan to enjoy prosperity and peace. Three strategic areas of cooperation were identified through the application of the five core principles and programme planning and management approaches – gender equality, environmental sustainability, capacity development, Human Rights Based Approach (HRBA) and Results Based Management (RBM). Gender equality and human rights are mainstreamed through all priority areas.

The UNDAF evaluation process was expected to be light and the present report is the final evaluation of the UNDAF, undertaken with the following objectives:

- To support greater learning about what works, what doesn’t and why in the context of an UNDAF. The evaluation will provide important information for strengthening programming and results at the country level, specifically informing the implementation for the next programming cycle and for improving United Nations coordination at the country level.

- To support greater accountability of the UNCT to UNDAF stakeholders. By objectively verifying results achieved within the framework of the UNDAF and assessing the effectiveness of the strategies and interventions used, the evaluation will enable the various stakeholders in the UNDAF process, including national counterparts and partners, to hold the UNCT and other parties accountable for fulfilling their roles and commitments.

The data that was used in the evaluation was collected through review of official documents, publications and reports of the Government of Kazakhstan, UN system agencies, and other relevant publications; as well as interviews with management and staff of the United Nations Country Team (UNCT) in Kazakhstan, key Government officials, and other partners and stakeholders, such as representatives of Civil Society Organizations (CSOs). The research was complemented with a web based survey to include a wider UNCT audience.

The evaluation presents findings along four main evaluation criteria;

**Relevance.** The evaluation found that the UNDAF was aligned to national development goals and priorities as articulated by the Government. The 2010-2015 UNDAF overall, as a platform for technical and operational cooperation has been highly relevant to the country’s needs in support to democratic and socio economic reform and development. Furthermore, the relevance of individual
projects and activities is generally very high as they are based on the priority areas drawn in national strategic documents during the period of the UNDAF implementation.

**Effectiveness.** Overall, the quality of UNDAF activities has been high, but the magnitude of these activities’ contribution to progress of UNDAF Outcomes has been difficult to quantify. There is verifiable progress in all three UNDAF Outcomes. Specifically, in capacity development of data collection, management and reporting, advancing legal and policy framework on gender, child protection and generally improving the human rights conditions for PwDs, people living with HIV/AIDS, as well as environmental protection and land degradation. Nevertheless, attribution has been challenging due to lack or regular reporting against UNDAF stated objectives and lack of a UNDAF mid-term evaluation.

**Efficiency.** Overall, the programme efficiency measured through implementation and management related to secured and timely funding, has been indicated as very satisfactory.

**Sustainability.** Most effects and outcomes of the project implemented within the UNDAF framework are likely sustainable, especially in terms of advanced policy and legislative framework, which builds sustainable policy prerequisites for the continuation of reforms in child protection, environmental protection, gender mainstreaming and combating domestic violence.

The key lessons learned over the UNDAF period were on the mechanisms to maintain the UNDAF/PFD a dynamic framework of UN assistance to the country. The trust given by the Government of Kazakhstan to the UN and the non-political nature of the UN is a strength that played an important role in the attainment of the achievements. Effectively, the gradual process of incorporating best international practices across sectors and policies is on-going and should be maintained over the course of the PFD implementation. Nevertheless, the particular circumstances by which the host government is also the major donor, requires distinct political and managerial skills to ensure the values of the UN are not compromised. Publications and materials, especially those that are directly relevant to Kazakhstan’s science, culture and history, climate change and modern technology should be available for distribution. An important lesson has been noted to the effectiveness of the support process of adoption of UN Conventions, which in turn enables the process of development and modernization of national legislation.

The evaluation recommends to use momentum created by UNDAF to further the collaboration and substantial coordination with government and non-government stakeholders within the PFD and develop (operationalize) thematic groups (result groups) as a platform for inter-agency and inter-sectoral collaboration stimulating continuous and substantive exchange with government and civil society. The establishment of focal points on thematic issues in each institution to ensure access, follow up and continuous communication could also be considered. The UNCT should focus on activities that generate good response by partners and other stakeholders and show notable result trends like: intensify policy and advocacy engagement and dialogue, streamline activities supporting the mechanism for participatory engagement of CSOs and local government institutions, enhancing the common and meaningful approach as UNCT on cross sectoral issues in collaboration with national and local stakeholders.
Coordination of Joint Programmes should be improved to adequately respond to joint project implementation requirements in the field by creating synergies and demonstrate outcome oriented action.

Chapter 1: Introduction

In compliance with the QCPR and UNDAF guideline requirements, the UN Country Team has commissioned to conduct the UNDAF evaluation, which is considered critical to enhancing the UN’s accountability. The UNDAF evaluation process is focused to educate the stakeholders on the process and generate lessons learned that will help guide the implementation of the new programming framework.

The UN Country Team in Kazakhstan is comprised of 19 UN organizations (ILO, OHCHR, UNAIDS, UNDP, UNDPI, UNDSS, UNEP, UNESCAP, UNESCO, UNFPA, UNHCR, UNICEF, UNISDR, UNOCHA, UNODC, UNRCCA, UNV, UN Women, and WHO). IOM and WB are invited members of the Country Team. In addition to national operations and coverage, eleven of these agencies have a sub-regional presence. Non-resident agencies engaged in country programming are UNIDO, FAO, and IAEA. The finalization of the UNDAF 2010-2015 coincides with the conclusion of the MDG implementation. According to data received from the UNCT, Kazakhstan demonstrated remarkable progress towards the achievement of all MDGs. It is expected that by the end of 2015 Kazakhstan is likely to achieve all of the targets set for the country.

The evaluation process followed an inclusive approach, involving a broad range of stakeholders and partners. The process has included stakeholder mapping in order to identify various stakeholders and partners including those who do not work directly with the UNCT, yet play a key role in the national context. These stakeholders included representatives mainly from the Government and civil society organizations familiar with UNCT representatives and activities.

The UNDAF evaluation approach is based on standard OECD/DAC criteria (relevance, effectiveness, efficiency, impact and sustainability of results) as well as the key issues of design, focus and comparative advantage of the UN system, as basis for its objectives and key questions. The UNDAF evaluation is light in nature and is based largely on desk assessment of existing and available documents and stakeholder interviews.

The evaluation has been conducted independently and has strived to produces credible and useful feedback, adhering to the highest possible professional standards in evaluation.

1.1 Objectives and Scope of the Evaluation

The UNDAF evaluation sets the following main objectives:

- To support greater learning about what works, what does not and why, in the context of an UNDAF. The evaluation will provide important information for strengthening programming and results at the country level, specifically informing the implementation for the next programming cycle and for improving United Nations coordination at the country level.
To support greater accountability of the UNCT to UNDAF stakeholders. By objectively verifying results achieved within the framework of the UNDAF and assessing the effectiveness of the strategies and interventions used, the evaluation will enable the various stakeholders in the UNDAF process, including national counterparts and partners, to hold the UNCT and other parties accountable for fulfilling their roles and commitments.

The scope covered by the evaluation includes examining UNDAF programming principles (human rights-based approach, gender equality, environmental sustainability, results-based management, capacity development), overall strategies and outcome/output specific strategies included in the UNDAF itself. The UNDAF will be evaluated against the strategic intent laid out in the UNDAF document and specifically its contribution to the national development results included in the UNDAF results framework. The light UNDAF evaluation process will be based on desk review of the reports, surveys, mid-term progress reviews, and assessment reports relating to UNDAF evaluation.

As to the Scope of Work, the external evaluation satisfies the following objectives:

1) Assesses the role and relevance of the UNDAF in relation to the issues and their underlying causes and challenges identified by the CCA and in the context of national policies and strategies; and as a reflection of the internationally agreed goals, particularly those in the Millennium declaration, and international norms and standards guiding the work of the agencies of the UN system and adopted by the UN member states.

2) Assesses the design and focus of the UNDAF, i.e. the quality of the formulation of results at different levels, the result chain.

3) Assesses the validity of the collective comparative advantages of the UN System.

4) Assesses the effectiveness of the UNDAF in terms of progress towards agreed UNDAF outcomes, including an assessment of the performance of its Joint Programs.

5) Analysed to what extent results achieved and strategies used by the UNDAF are sustainable as a contribution to national development and in terms of the added value of UNDAF for cooperation among individual UN agencies.

Evaluation criteria: The contribution of the UNCT to the development outcomes has been assessed according to a standard set of evaluation criteria to be used across UNDAF evaluation:

- Relevance. The extent to which the objectives of UNDAF are consistent with country needs, national priorities, the country’s international and regional commitments, including on human rights (Core human rights treaties, including CEDAW, CPRD, CRC, ICCPR, ICESCR, ICERD, etc.) and the recommendations of Human Rights mechanisms (including the treaty bodies, special procedures and UPR), sustainable development, environment, and the needs of women and men, girls and boys in the country.

- Effectiveness. The extent to which the UNCT contributed to, or is likely to contribute to, the outcomes defined in the UNDAF. The evaluation should also note how the unintended results, if any, have affected national development positively or negatively and to what extent have they been foreseen and managed.
• Efficiency. The extent to which outcomes are achieved with the appropriate amount of resources and maintenance of minimum transaction cost (funds, expertise, time, administrative costs, etc.).

• Sustainability. The extent to which the benefits from a development intervention are likely to continue after the current UNDAF will have been completed in 2015.

Given below are standard issues that can be assumed to affect performance:

• UN Coordination. Did UN coordination reduce transaction costs and increase the efficiency of UNDAF implementation? To what extent did the UNDAF create actual synergies among agencies and involve concerted efforts to optimise results and avoid duplication?

• Five UNDAF Programming Principles. To what extent have the UNDAF programming principles (human rights-based approach, gender equality, environmental sustainability, results-based management, capacity development) been considered and mainstreamed in the UNDAF chain of results? Were any shortcomings due to a failure to take account of UNDAF programming principles during implementation?

• To what extent did the UNDAF make use of and promote human rights and gender equality standards and principles (e.g. participation, non-discrimination, accountability, etc.) to achieve its goal?

• To what extent did UNDAF strengthen the capacities for data collection and analysis to ensure disaggregated data on the basis of race, colour, sex, geographic location, etc.

1.2 Methodology

The purpose of this evaluation is to support greater learning about what works, what doesn’t and why in the context of an UNDAF and to support greater accountability of the UNCT to UNDAF stakeholders. The evaluation should examine UNDAF programming principles (human rights-based approach, gender equality, environmental sustainability, results-based management, capacity development), overall strategies and outcome/output specific strategies included in the UNDAF itself. As required in the ToR, the methodology for the UNDAF 2010-2015 independent evaluation will follow the United Nations Evaluation Group Guidelines and will be conducted in line with OECD/DAC criteria. This methodological approach included the following steps for this evaluation:

1. Research questions to guide eliciting information have been developed in a form of an Evaluation Question Matrix (Annex I). The Matrix guided the evaluation, including data collection and analysis activities. The body of the matrix included a set of research questions based on the purpose driving the evaluation established in the Terms of Reference. The research questions have been used to organize the evaluation research and develop data collection questions or measures. The matrix has also been used to assemble the measures into the appropriate data collection and analysis instruments, including the desk review, the stakeholders’ survey and the interview guide.

2. Desk Review: Review of existing documentation and reference materials such as reports and any other data and information provided by the UNCT/UN RC’s Office. As stated in the ToR, the review included UNDAF planning documents, mid-term progress reviews and final evaluations undertaken by UN agencies, annual reports and past evaluation reports (including those on projects and small-scale initiatives, and those issued by national counterparts), strategy papers, national plans and policies and related programme and project documents, reports on the progress against
national and international commitments. Given the nature of this final evaluation described as light, the identification of an exhaustive list of documents for the desk review has been assembled in the preparatory phase of the evaluation, however the list expanded throughout the evaluation field visit as relevant. Furthermore, a set of codes have been identified to simplify data collection and subsequent analysis. These codes enable to systematically analyse data from an early stage and triangulate all data sources.

3. In-depth interviews with key UN staff and government counterparts, CSOs and beneficiaries have been conducted in person during the Consultant’s visit to the country. A list of respondents has been developed in close coordination with the RCO to ensure critical feedback is obtained. About 18 meetings have been conducted with more than 25 interlocutors (List of interlocutors Annex II). A semi-structured questionnaire has been developed to ensure responses provide qualitative data necessary for extrapolation of conclusions, recommendations and lessons learned. A determining feature of the evaluation is the perspectives of stakeholders in the Country. It is their distinct perspectives and opinions that will constitute the primary data for the evaluation and drive the formation of the resulting conclusions and recommendations.

4. On line stakeholder’s survey (web based questionnaire Annex III) has been developed to include all UN agencies present in the country UNCT will provide the list and contact information for these stakeholders whom they identify as involved in or knowledgeable about UNDAF implementation. This allowed the integration of views of a much larger number of respondents into the evaluation in a confidential format. With the survey, information about UN stakeholder perceptions on UNDAF implementation relevance has been collected, effectiveness, efficiency, sustainability and solicit lessons learned.

The evaluation included a five day visit to Astana, Kazakhstan where stakeholders have been interviewed (Annex II). A number of interviews and consultations with UNCT representatives have been conducted via Skype.

1.3 Limitations
The UNDAF evaluation is envisaged to be light in nature limiting the extent of research, which means that the findings are largely based on existing data and stakeholder interviews. Regular and systematic reporting against UNDAF outcomes and indicators has been irregular and not systematic. UNDAF Evaluation and Annual Report were not issued during the UNDAF 2010-2015\(^1\). UN agencies commissioned a number of evaluations of their country programmes that speak about the quality and impact of their work. This indicates the importance to institutionalise UNDAF monitoring and evaluation on a sustained basis. In 2014 the UNCT launched the Country Situation Analysis, an independent UN assessment of the development situation and critical issues. This report provides a brief update on UNDAF progress and lessons learned it also recommends priority areas for UN engagement. Based on this report the UNCT initiated the drafting of the next strategic framework.

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\(^1\) UNDAF annual reports were not issued per say but summaries of annual activities were produced on a regular basis and presented to the government in annual UNDAF review meetings which took place once a year during the reporting cycle (RCO 21.12.2015).
Chapter 2: Development context

2.1 National development context

According to the World Bank and the UN, Kazakhstan is an upper-middle-income country with per capita GDP of nearly US$13 thousand in 2013. Government investment has helped improve infrastructure and social services, and the country has made significant progress in human development and in reducing inequalities since its independence in 1991. However, social, gender and regional disparities are widening rather than narrowing, and Kazakhstan faces numerous complex development challenges in the fields of governance, human rights, the rule of law and sustainable socio-economic management. Kazakhstan’s real GDP growth slowed from 6 percent in 2013 to 3.9 percent during the first half of 2014, due to internal capacity constraints in the oil industry, less favourable terms of trade, and an economic slowdown in Russia. A sharp devaluation of the Kazakhstan Tenge in February 2014 and August 2015, lead to a strong drop in imports of goods that became more costly and may further affect public spending.

Education is a high priority for Kazakhstan, and in 2011, Kazakhstan ranked first on UNESCO’s “Education for All Development Index” by achieving near-universal levels of primary education, adult literacy, and gender parity. These results have reflected Kazakhstan’s efforts of expanding pre-school access and free, compulsory secondary education. For the next 10 years, Kazakhstan is embarking on further major reforms across all education levels.

Kazakhstan faces challenges in restructuring its healthcare system. The country’s health outcomes lag behind its rapidly increasing income. The major causes of adult mortality are non-communicable diseases such as cancer, cardiovascular disease, other tobacco and alcohol-related diseases and injuries. Agriculture accounts for only 4.5 percent of GDP, but the sector continues to employ almost one-fourth of the working population and is critical to addressing poverty and food security, as well as providing an important avenue for diversification of the economy.

Kazakhstan’s development objective of joining the rank of the top 30 most developed has been defined by the 2050 Strategy. This long term strategy has two main development stages; until 2030 and the phase between 2030 and 2050. The policy framework guiding this effort is the Strategy for development of the Republic of Kazakhstan until the year 2030, which has been the defining strategy at the time of the 2010-2015 UNDAF development.

The "Kazakhstan-2030" Strategy outlines a long-term way of development of the sovereign republic, directed at transforming the country into one of the safest, most stable, ecologically sustained states of the world with a dynamically developing economy. The "Kazakhstan-2030" Strategy for development provides implementation of seven long-term priorities:

- National security.
- Domestic political stability and consolidation of the society.
- Economic growth based on an open market economy with high level of foreign investments and internal savings.
- Health, education and well-being of Kazakhstani citizens.

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- Power resources.
- Infrastructure, more particularly transport and communication.
- Professional state.
- The strategic plan for development of the Republic of Kazakhstan until the year 2020

The strategic plan for development of the Republic of Kazakhstan until the year 2020, which has been launched in 2010, has already been achieved, according to official statements. Looking ahead, the 2050 strategy has been developed.

Current social reforms originating from the national 2050 Social Modernization Strategy offer a window of opportunity to raise concern of growing disparities, and refocus public policy on equity gaps. The Government has articulated ambitious social development objectives for the country in the 2030 Social Development Concept. However, current economic challenges due to oil price fluctuations and economic sanctions against Russia affect economic growth and may further affect social spending, negatively impacting the ambitious social development objectives. The UNCT commitment to be vigilant of the socio-economic challenges and trends is vitally important.

2.2. UNDAF Strategic Priorities for 2010-2015

In response to the national priorities of the Republic of Kazakhstan, and in cooperation with the Government of the Republic of Kazakhstan, civil society and other stakeholders, the UNCT prepared the development framework for 2010-2015 which identified the three strategic areas of priority:

- Economic and Social Wellbeing
- Environmental Sustainability, and
- Good Governance

Each of these priority areas contributes to the achievement of national goals and priorities as identified in the Development Strategy 2030 and Strategic Plan 2020 and assists the citizens of Kazakhstan to enjoy prosperity and peace.

The three strategic areas of cooperation were identified also through the application of the five core principles and programme planning and management approaches – gender equality, environmental sustainability, capacity development, Human Rights Based Approach (HRBA) and Results Based Management (RBM). Gender equality and human rights are mainstreamed through all priority areas, but they are also addressed in specific country programme outcomes.

2.3. United Nations Development Assistance Framework (UNDAF) – Expected Outcomes and Results

The objective of the UN Country Team during 2010-2015 was to assist Kazakhstan in further development of a modern and democratic state, central to regional stability and cooperation, on the path towards sustainable development.

UNDAF 2010-2015 was firmly grounded in results based management and human rights based approach as well as in environmental sustainability, gender equality and capacity development. Based on these principles and as mentioned above in line with the National Sustainable Development Strategy, UNCT identified three key strategy priority areas to form the basis of the 2010-2015 UNDAF, along with respective targets and Agency Outcomes:
<table>
<thead>
<tr>
<th>UNDAF OUTCOME</th>
<th>TARGET</th>
<th>AGENCY OUTCOMES</th>
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<tr>
<td><strong>UNDAF Outcome 1:</strong> Economic and Social Wellbeing for all</td>
<td>By 2015, state actors at all levels and civil society are more capable and accountable of ensuring the rights and needs of the population, particularly vulnerable groups.</td>
<td><strong>Agency Outcome 1:</strong> Vulnerable groups, especially women, children, migrants, refugees, young and aged people, people with disabilities have improved access to markets, goods, services and quality social safety nets. <strong>Agency Outcome 2:</strong> Women, children and young people, especially those in rural areas and from risk groups, have better access to health care services as a result of strengthened health systems. <strong>Agency Outcome 3:</strong> Universal access to quality HIV/TB/STI (prevention, treatment and support) and sexual reproductive health services is ensured to everyone in need, with special attention to vulnerable groups of population. <strong>Agency Outcome 4:</strong> Strengthened prevention and management of non-communicable diseases and improved lifestyles of Kazakhstan population.</td>
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<tr>
<td><strong>UNDAF Outcome 2:</strong> Environmental Sustainability</td>
<td><strong>Target:</strong> National authorities and communities are better prepared and respond to natural and man-made disasters.</td>
<td><strong>Agency Outcome 1:</strong> Government, educators, communities, civil society and the academic community practice an integrated approach to sustainable development, natural resources management in national and trans-boundary perspectives. <strong>Agency Outcome 2:</strong> The Government, industries and civil society take steps to adapt to climate change and mitigate its impact through energy efficiency measures and climate change adaptation policies. <strong>Agency Outcome 3:</strong> National authorities and communities are better prepared and respond to natural and man-made disasters.</td>
</tr>
<tr>
<td><strong>UNDAF Outcome 3:</strong> Good Governance</td>
<td><strong>Target:</strong> By 2015, state actors at all levels and civil society are more capable and accountable of ensuring the rights and needs of the population, particularly vulnerable groups.</td>
<td><strong>Agency Outcome 1:</strong> National institutions have better capacity for protection and promotion of human rights, and ensuring access to justice for all. <strong>Agency Outcome 2:</strong> The Parliament, sub-national legislative bodies and civil society organizations enjoy effective dialogue and collaboration in policy-making, elective and legislative processes. <strong>Agency Outcome 3:</strong> Central and local governments operate in a more effective, transparent and accountable manner.</td>
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Chapter 3: Evaluation Findings

3.1 Overall Findings along standard evaluation criteria

This section describes main findings collected through the filed interviews with major stakeholder and through the web based survey circulated among all resident and non-resident agencies operating in Kazakhstan.

Relevance

EQ 1.1 To what extent are the objectives of the UNDAF consistent with country needs, national priorities, international and regional commitments?

Evaluation Criteria: 1.1.1 UNDAF takes into consideration and promotes human rights (Core human rights treaties, including CEDAW, CPRD, CRC, ICCPR, ICESCR, ICERD, etc.) and practices the recommendations of Human Rights mechanisms (including the treaty bodies, special procedures and UPR)

The UNDAF 2010-2015 takes into account the situation analysis of the region and results of the previous programmes and activities. The programme rely on the priorities of the United Nations Development Assistance Framework (UNDAF) for the Republic of Kazakhstan 2005-2009, as well as on the priorities of key national strategic documents, such as “Kazakhstan – 2030” and other development strategic policy papers. The consultative and strategic priority setting process of UNDAF development was initiated with the completion of the 2005-2009 UNDAF mid-term review (MTR) in 2008. A number of technical and high level consultations followed and helped sharpen the strategic focus towards the achievement of national development priorities. The design work is guided by the Human Rights Based Approach and Result Based Management which takes into consideration and promotes human rights practices and mechanisms.

The 2010-2015 UNDAF reflects Kazakhstan’s commitments to the Millennium Declaration including the MDGs and other Internationally Agreed Development Goals (IADGs), treaties and conventions and human rights instruments of the United Nations.

The UNDAF aimed at contributing to the national development agenda of Kazakhstan, whose main goals relates to becoming a full member of the global economy through the adoption of international standards in its financial and public sector and economy diversification. The UN was set to collaborate with the World Bank and the European Union in raising public sector efficiency, building human capital, support health sector reforms and promotion of good governance and strengthening democracy through its programmes. Partnership with civil society organizations has been an important strategy of the UN in helping to leverage the expertise and capacities of other stakeholders and maximizing the overall impact of the UNDAF engagement. Capacity development of national and local institutions, have been among the priority strategies focused on development outcomes.

EQ 1.2 To what extent have UNDAF objectives been adequately programmed to capitalise on UNCT comparative advantage?

Evaluation Criteria: 1.2.1 UNDAF objectives been adequately programmed to capitalise on UNCT comparative advantage?
UNDAF objectives defined as Outcomes have been developed to contribute to national efforts in the national priority areas of improving economic and social well-being of the population, increasing public sector effectiveness and efficiency, compliance with international human rights standards and enhancing environmental sustainability. Respondents agree that UN programming has been integrated in the country development perspectives. Many programming elements are an integral part of the 2020 Strategic Development plan and view UNDAF as an important factor in the process of prioritization of the national development agenda.

EQ 1.3 To what extent are these objectives conducive to sustainable development, respect for the environment?

Evaluation Criteria: 1.3.1 UNDAF objectives safeguard sustainable development and the environment

This question builds upon the previous one pertaining to the criterion of relevance of objectives, given that Kazakhstan belongs to upper mid-income countries, where sustainable development is an overarching both mid-term and long-term goal. Respondents are in majority favourable to the judgment that UNDAF objectives are “fully conducive” to sustainable development. Hence, the respondents confirmed very satisfactory relevance of objectives through the survey and interviews.

EQ 1.4 To what extent are these objectives responding to the needs of women and men, girls and boys and vulnerable groups in the country.

Evaluation Criteria: 1.4.1 UNDAF objectives take into account specific needs of women, men, boys and girls and vulnerable populations in the country.

Programs and projects design take into consideration the specific gender needs and are specifically tailored to cater to gender specificities. However, the data available through existing UNDAF monitoring tools makes it difficult to assess the level to which gender disaggregated data has been collected and analysed

2. Effectiveness

EQ 2.1 To what degree has the UNDAF been operationalised, through projects and specific activities, during the implementation period?

Judgment Criteria 2.1.1 Programmes and projects directly contributing to UNDAF outcomes

During the 2010-2015 UNDAF implementation, the UNCT and national partners delivered a large number of programmes and projects amounting to the total value of USD 113 million, of which 36% were joint programmes and 64% were individual agencies programmes. The funds were almost equally distributed among the three Outcomes. This exceed the initial plan of USD 79,3 mil for almost one third.

This question aims at assessing effectiveness’ sub-criterion of achievements. During stakeholder interviews, respondents perceive a high degree of operationalization but noticed large discrepancies in agencies’ budgets and hence their ability to contribute to the development agenda and respond to development needs. Among UN agencies respondents, almost 2/3 of the respondents viewed the UNDAF process as fully operationalised through projects and specific activities, during the implementation period 2010-15. Nonetheless, there was a certain discrepancy in textual
answers/descriptions; three out of five respondents stated that UNDAF is very broadly defined and as such permitted agencies to establish links to UNDAF and “whatever was conducted could fit into UNDAF framework without real analysis how it contributed to UNDAF objectives.” Therefore, the data collected through this survey question indicate that achievements in UNDAF operationalization through projects/programmes implementation were very satisfactory, with reservation pertaining to explanations by the respondents.

**EQ 2.2 To what extent the UNCT contributed to, or is likely to contribute to, the outcomes defined in the UNDAF?**

*Judgement Criteria 2.2.1 Change occurs as a direct result of UNCTs activities through projects and programmes in support of UNDAF.*

This question assesses impact of outcomes. Slightly less than a half of respondents (46.7%) considered that the United Nations Country Team fully contributed to the outcomes as planned and defined by UNDAF, while 1/3 (33.3%) indicated that UNCT’s moderately contributed to the defined outcomes. In other hand, two out of the total of five textual answers/descriptions are incongruent to the multiple choice responses; one respondent stated that “outcomes are too broadly formulated so UNCT can easily say that it contributed”, while another commented that “most of the activities under outcomes were defined and undertaken by agencies separately”, which excludes the role of UNCT.

Therefore, the data collected through this survey question indicate that outcomes in respect to UNCT’s contribution were very satisfactory, with reservation pertaining to 40% of textual answers that are incongruent with answers chosen (out of offered multiple choices) by 80% of respondents.

**EQ 2.3 Have there been any notable unintended results (positive or negative) and how have they affected national development?**

*Judgment Criteria 2.3.1 National development positively or negatively affected by UNDAF related activities*

There has been notable knowledge transfer through capacity development engagement through the use RBM, joint programming, planning, and implementation capacity. Working on cross-sectorial issues improved inter-ministerial cooperation and coordination and inspired a positive change in government practices. For example, research conducted on the de-institutionalisation of children without parental care spurred a strong reaction and fostered a debate amongst the main responsible institutions, namely Ministry of Education, schools and other educational and care institutions. Such debates are very useful and lead to constructive policy revisions and potential institutional change of poor practices. Multiple respondents have stated numerous benefits of engaging with the UN such as, engaging and developing CSOs, improving policy and legislation, improving methods and format of work which contribute to a more effective public sector.

This question assesses impact in terms of unintended (positive or negative) changes, resulted by UNDAF process that affected national development. The majority of respondents (12 out of 15, i.e. 80%) asserted there were no negative unintended changes.
EQ 2.4 How would you rate the ability of the UNCT to establish and use its partnerships to improve its performance and strengthen cooperation with:

Judgment Criteria 2.4.1 Functional partnerships have been established and have proven substantial level of cooperation and collaboration

Private sector – Initial steps are made on partnership development with the private sector at agency level only. The UNCT as such has not systematically engaged in partnering with the private sectors. For example, according to available reports⁵, the national CSR framework was shaped by the codes of conduct of the multinational corporations (MNCs) operating in Kazakhstan. Since the major industry of the country and its major export commodity is oil, international oil companies were at the same time developers of CSR policies. The Eurasia Fund of Central Asia, Chevron and GSM Kazakhstan initiated a dialogue platform to promote CSR. The Eurasia Fund of Central Asia presented the national blueprint of CSR, which, however, touches upon only the prevention of the worst forms of child labour, and overlooks the importance of businesses as champions of child rights. The need for both the state and the private sector to implement into practice the UN Guiding Principles on Business and Human Rights were promoted on several events engaging National Chamber of Entrepreneurs “Atameken”. Engagement with the private sector in order to promote business and human rights principles has shown lack of knowledge and confusion on the part of private sector actors of the Corporate Social Responsibility and Business and Human Rights Principles. Child rights and business principles as part of the child-friendly Corporate Social Responsibility were promoted among UNICEF’s existing corporate partners and through dialogue platforms. UNICEF established and sustained a diverse partnership landscape including with the Kazakh Government, Parliament, Ombudsman’s Office, UN Agencies, international and national CSOs, corporate sector, traditional donors. OHCHR’s established and maintained partnership with the Ministries, Parliament, Office of the Ombudsperson, Commission on Human Rights under the President, Office of the Prosecutor General, civil society organisations and international organisations (such as the OSCE, Penal Reform International) and diplomatic missions allowed contributing to achievement of UNDAF 2009-2015 outcomes even with limited financial resources.

Local government- The implementation of Joint Projects has fostered the development of partnership at local level. The extent and the benefits of such partnership depend largely on personalities and predominantly on personal contacts. Governments can be slow in reaction and moves with certain level if inertia. This should be taken into account by the project cycle and could be mitigated by diversification of local stakeholders. It could motivate and positively affect participants in the process to move faster and be more efficient in the decision making process, under peer pressure.

Parliament/national human rights institutions: The cooperation of some agencies with the Ombudsman office has not been steady during the UNDAF 2010-2015; however, more consistent with some others (like OHCHR). The collaboration seemed to be tighter with the Commission on Human Rights under the President for some agencies and with the Ombudsman’s for others (with regard to promoting the accreditation of the Office of the Ombudsman with the International Coordinating Committee of National Human Rights Institutions, advocating for a law on the Ombudsperson and strengthening its mandate and increasing resources available to his Office, promoting legislation on and establishment of the national mechanism to prevent torture (NPM). The cooperation was recently intensified on specific issues, such as the issue of integrating people/children with disabilities. The systematic engagement of UNICEF, UN Women, UNDP and other UN agencies has been cited as particularly effective during the 2010-2015 period, particularly in research that was conducted in de-institutionalisation of children without parental care and children with disability (UNDP) and promotion of girls’ participation (UN Women). Other issues have also been pursued such as vulnerability of children, violence against children etc.

Respondents in the web based survey were given the choice to rank (through 4-level scale) the adequacy of UNCT partnerships and cooperation with five sectors of Kazakhstan’s society (i. civil society, ii. academic institutions, iii. private sector, iv. LSG, and v. parliamentary/national human rights sector). The highest rank of partnership adequacy respondents gave to the sector of local government, i.e. 14 out of 18 (77.78%) replies included the “fully adequate” mark. Academic sector won the second place with 9 “fully adequate” responses (50%), while the third place is shared by civil society and parliament/national human rights institutions, with 10 “moderately adequate” responses. Finally, private sector was marked as moderately adequate by 8 out of 18 respondents but also as inadequate by 7 out of 18 respondents. Comments were mainly in harmony with the marks given; partnerships with local governments were marked both as an example of good practice and as less sufficient in terms of commitments (due to rapid change of LSG officials), while the engagement of academia and private sector was commented as a new area to address, because low attention was given to them in UNCT meetings so far. Civil society’s context was described as more restrictive in recent years, while partnerships with private sector is commented as “still very far from issues relating to poverty reduction and advancement of the human rights agenda.”

Overall, the collected responses marked the partnerships with five sectors in 44.44% fully adequate and moderately adequate in 41.11%. Thus effectiveness measured through achievements of established partnerships aimed at improved performance and strengthened cooperation was indicated as satisfactory.

EQ 2.5 To what extent did the UNDAF create actual synergies among agencies and involve concerted efforts to optimise results and avoid duplication?

Judgment Criteria 2.5.1 UNDAF was successful in creating synergies among agencies and optimised results

There are concerns that competition for resources may influence the level of active and meaningful participation of agencies in the process. Not at coordination level alone, but on a deeper level, at the level of meaningful cooperation with each other. Another important element contributing to the challenge of meaningful cooperation and synergy, is that often the intervention in a society like Kazakhstan requires a highly specialised intervention which may reduce the ability to expand the
level of engagement and multiple agency participation. In such cases, agencies face difficulties improving synergies on specialised interventions. Agencies have different operational modalities, especially on funding, financial management and reporting which adds another layer of inconvenience in working jointly.

When asked what mechanisms were created throughout the implementation process to ensure participation, only a small number of respondents replied to this question, the listed mechanisms include: i) country thematic groups, ii) joint UN teams (for AIDS), iii) steering committees set up for UN joint programmes, iv) Inter-agency Working Group (IAWG) Coordination Meetings at the local level /area-based programmes’ implementation, v) civil society-government round tables, vi) joint inter-agency Technical Working Group, and vii) annual meetings with the government organised at the MFA.

EQ 2.5 To what degree was monitoring integrated and continuous?

Judgment Criteria 2.5.1 A monitoring plan has been produced and regularly updated

Please see chapter 4.

3. Efficiency

EQ 3.1 To what extent have funding become available to meet the planned outcomes as per UNDAF implementation plan?

Judgment Criteria 3.1.1 Activities contributing to stated UNDAF outcomes have been met by an adequate level of funding

This survey item measures efficiency of programme/project implementation plan in relation to sufficient and timely funding. Over a half of the respondents, 6 out of 15 (53.3%) replied that the funding fully followed the implementation, as planned, while 40% of respondents stated “moderately”. One of the textual comments included that “the government funding for UN JPs helped a lot in UNDAF implementation”, which, in fact, describes the UNDAF implementation funding in Kazakhstan in ratio of 80:20 in favour of national contribution.

Overall, the programme efficiency measured through implementation management related to secured ant timely funding was indicated as very satisfactory. Nevertheless, this ratio it is an indication of level of resources available among the UNCT and its representative agencies.

4. Sustainability

EQ 4.1 To which extent are the benefits from a development intervention likely to continue after the current UNDAF will have been completed in 2015?

Judgment Criteria 4.1.1 Specific outcomes that are integrated in current practices and will continue its effects in the future

There has been evidence of change in attitude that in the medium term leads to policy development and institutional change. Changes in the national legislation as a result of such change in attitudes
and transfer of practices and knowledge, have been repeatedly mentioned by all respondents interviewed for the purpose of this evaluation.

The engagement of the UN has fostered the development of more progressive policies in areas dominated by more conservative attitudes. Working on inclusive policies has influenced facts on the ground and brought the onset of institutional change. Programme interventions have also facilitated the engagement of local authorities and service providers on local level. It has also initiated a process that has been neglected, such as community engagement and ignited a more vibrant civil society in Kazakhstan, which are all important elements of durability of action and thus, sustainability.

**EQ 4.2 To what degree have complementarities, collaboration and / or synergies fostered by UNDAF contributed to greater sustainability of results of Country Programmes and projects of individual UN agencies?**

*Judgment Criteria 4.2.1 Complementarity, collaboration and synergies have contributed to sustainability prospects*

This question assesses the criterion of sustainability in terms of institutional and financial/economic sustainability. A half of the respondents (7 out of 14) replied that UNDAF 2010-15 results were likely to be maintained over time, but in some specific areas, while one third of respondents stated that the results were fully sustainable. Textual comments/descriptions were in accord with the chosen answers, pointing out that “full ownership of national partners is obvious in many projects”; however, one of the answers mentioned that “…taking into account the economic downturn the sustainability issue becomes quite acute.”

Overall, the sustainability in terms of institutional and financial/economic sub-criterion was indicated as likely.

This survey item relates to sustainability, too. Similarly to the data collected by the previous survey question (Q14), most of the respondents (60%) answered that the UNDAF sustainability was “likely in some sectors”, while one third of respondents stated that the results were very likely to remain sustainable. One of the two textual comments was quite vivid and perceptive: “they will continue if other support interventions are provided at a different level of engagement from the UNCT.”

**3.2 Findings per UNDAF Outcomes**

**UNDAF Outcome - I Economic and social wellbeing for all**

Target: By 2015, the population of Kazakhstan, and vulnerable groups in particular, will enjoy improved social, economic and health status.

Agencies engaged in the implementation towards attainment of UNDAF Outcome I: UNFPA, UNICEF, UNICEF, UNDP, UNDP, OHCHR, UNAIDS, UNHCR, ILO, UN Women, UNESCO, UNIDO, UNODC and WHO

Improving standards and quality of living remains at the centre of the development agenda of the government of Kazakhstan and is reflected in the UNDAF Outcome I. This nevertheless, remains a challenge, in particular in rural areas and among vulnerable groups. Having all this in mind, during
the UNDAF 2010-2015 implementation period, the UNCT has focused on integrated quality education, health, and social protection services for vulnerable groups, particularly in rural areas.

This included specific interventions, such as the social and economic revival of the former Semipalatinsk nuclear test polygon supported by the UN Joint Programme in East Kazakhstan. According to data available⁶, the Akimat of East Kazakhstan state structures rose considerable and reached the top position in 2013 up from the very bottom of the effectiveness ratings.

A number of new approaches have been introduced in the region in line with international standards on health, child and youth protection and social policy. These interventions have been supported by the central level government. Necessary legal and policy adjustments have been introduced and integrated into national practices to ensure streamlining and sustainability of action. Particularly addressing regional disparities and aiming to improve the quality of life for all beneficiaries citizens overall, two local development programmes in Kyzylorda and Mangystau continue intervening in improving health, child and youth protection and social policy. Commonly assessed as successful, initiatives implemented within the UN Joint Programme in East Kazakhstan have been replicated by other regions (oblasts). The UN Joint Programmes, three in total, are administered by the Ministry for the National Economy.

With UNCT continued advocacy and support, Kazakhstan ratified the CORD in February 2015. Also, with UNCT support, is currently building national capacity for its implementation, outlined in the Action Plan for Persons with Disabilities. UNCT assists the Government in developing appropriate methodologies such as the verification of national data collection and alignment with internationally defined legal instruments.

Considerable efforts have been made to improve access to quality reproductive health services and HIV treatment. These efforts have proven very effective, the introduction of lifesaving and cost efficient interventions into national maternal and child health services, in particular. These interventions have resulted in the reduction of mother, child and infant mortalities: as verified by the UN Inter Agency Group of Mortality Estimates, conducted in Kazakhstan in 2012 to verify Infant and Child Mortality⁷.

Overview of results per Agency Outcomes:

**Agency Outcome 1:** Vulnerable groups, especially women, children, migrants, refugees, young and aged people, people with disabilities have improved access to markets, goods, services and quality social safety nets.

**Main results:**

✓ A number of policies and key legislation has been adopted between 2010 and 2015 complying with the best interest of the child and improving the legal framework for protection of the child and family and protecting other groups of population in vulnerable situations, such as: recommendations to the Law on National Prevention Mechanism⁸,

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⁶ UN Country Situation Analysis, Kazakhstan 2015  
⁷ UN Country Situation Analysis, Kazakhstan 2015  
⁸ The Law of the Republic of Kazakhstan № 111-V of 2 July 2013 “On introducing amendments and addenda to several legislative acts of the Republic of Kazakhstan on issue of establishment of the national preventive mechanism aiming to prevent torture and other cruel, inhuman or degrading treatment and punishment”.
Family (Marriage) Code, Criminal Codes, Social Development Concept, the Law on Domestic Violence. Moreover, UNCT/OHCHR advocacy (along with that of the international community) prevented adoption of regressive laws (i.e. the draft law on protection of children from information that may harm their health and development) that may have affected the rights of the child if adopted.

✓ A number of recommendations addressing social protection needs of labour migrants and women in the informal sector have been formulated and adopted formally improving the overall legislative framework safeguarding the interests of women and labour migrants. Important studies have been completed analysing migratory streams, including understanding outflow of qualified nationals and assessment of services available to victims of trafficking. These include the following:
  o Recommendations to the Amendments to the Law On migration in RK
  o Recommendations to the Rules on Attracting of Foreign Labour Force
  o Recommendations to the Amendments to the Law On migration in RK
  o Recommendations to the Comprehensive plan according to the solution of problems of migration, strengthening of control of migratory streams from the adjacent states, to creating favourable conditions for domestic qualified personnel not to allow their excessive outflow on foreign labour markets for 2014-2016
  o Assessment of quality of special social services for victims of trafficking and recommendations for improvement of the system of social services

✓ Data collection and reporting on population issues, vital statistics data, mortality data (both crude data and age and gender specific data), morbidity data and health resources data as well as AIDS has been consolidated through a number of improvements in close cooperation with Republican Agency of Statistics, Republican AIDS Center under the Ministry of health and the Ministry of Health in general. The country is strongly encouraged to integrate all core indicators into its on-going monitoring and evaluation activities. The indicators are designed to help country assess the current state of the national response and progress in achieving the national HIV targets. These improvements contribute to providing critical information and possibility for comparison with other countries and with sub-regional and regional averages as well as to determine base lines for monitoring progress and implementation of new policies especially in the health sector, and their impact on population health.

**Agency Outcome 2:**

**Main Results:**

✓ With the aim to improve access to better health care for women, children and youth in rural areas, two pilot projects for managing diseases at primary health care have been introduced through a WB loan. Primary Health Care is better linked to other levels of services, strengths and weaknesses of the existing system are identified and recommendations on how to improve these linkages and referral is more efficient. Stakeholders including clinical experts, ministry of health, republican centre for health care development, have been brought together to identify potential improvements in strengthening ambulatory care and reducing hospitalization.
Data is presently available for the development and implementation of MNCAH strategy, detailed data on maternal deaths, their causes and underlining circumstances are available, is considered as best practice and replicated by health institutions, including the WHO.

Sector strategies, action plans, and mid-term expenditure frameworks of concerned ministries are in line with MNCAH action plan. The data has been validated in five pilot regions (out of 16) and in nine out of 11 initially piloted institutions.

In contribution to raising the capacity of national service providers to better fulfil their mandate to expand the delivery of quality family planning and reproductive health services, with special emphasis on vulnerable groups, those living in rural areas and poverty, training programme is incorporated in curricula of all tertiary and secondary medical schools and 410 health staff has been accordingly trained.

Agency Outcome 3:
Main Results:

Procedures and mechanisms to ensure improved access to quality HIV/TB/STI (prevention, treatment and support) and sexual reproductive health services, with special attention to vulnerable groups of population are in place. Nevertheless, number of people living with HIV receiving ART is growing every year. In 2010, there were 1,044 adults on ART, in 2011 and 2012 there were 1,583 and 2,338 respectively, up by 2.2 times. Starting with 2009 procurement and distribution of ARV medicines are funded by the state budget.

IDUs have been identified at risk of HIV and action has been taken to improve coverage of IDUs with standardized package of HIV prevention and treatment interventions. Baseline data on coverage was scarce therefore difficult to determine exact progress to date. However, number of people who inject drugs (PWID) covered with the needle and syringes exchanges programme is increasing. In 2011, 61.5% of PWID benefitted from needle and syringe exchange, while in 2012 their number rose to 72.8%.

Agency Outcome 4:
Main Results:

Strengthened prevention and management of non-communicable diseases and improved lifestyles of Kazakhstan population.

National policy for primary prevention of violence and injuries has been improved with the introduction of the Law on prevention of domestic violence, adopted in the end of 2009. Amendments to the Law on prevention of domestic violence adopted in 2014

Slow progress is notable in reproductive health among girls and young women. Areas in relation to people with disabilities, ensuring healthier lifestyle, access to medical and social services for older persons, have not reported considerable progress. Also, reporting emphasise activities rather than results. Lack of data is noticeable.

UNDAF Outcome II- Environmental Sustainability

Target: By 2015, communities, national, and local authorities use more effective mechanisms and partnerships that promote environmental sustainability and enable them to prepare, respond and recover from natural and manmade disasters.
The UNDAF Outcome II has engaged national and local partners to ensure the development and use of more effective mechanisms and partnerships to promote environmental sustainability to the benefit of local communities. Specifically, the UNCT has tried to make the national development plans as progressive as possible by drafting substantive elements of the Green Economy Transition Plan and support the development of the institutional and regulatory framework of the Green Bridge Partnership Programme, which has been subsequently signed by eight countries in September of 2013. It has also helped the Government introduce into law several instruments of natural-resource management, including tough standards for environmental protection, carbon emissions, energy efficiency, biodiversity, and the management of chemical waste.

Many of the indicators lack sufficient data (11 of 30) data and information access and/or management needs to be addressed.

**Agency Outcome 1:** Government, educators, communities, civil society and the academic community practice an integrated approach to sustainable development, natural resources management in national and trans-boundary perspectives.

**Main Results:**

- In support to introducing an integrated approach to sustainable development, natural resources management in national and trans-boundary perspectives, two institutional mechanisms for water basin management that are based on ecosystem management principles have been developed and introduced.

- ESD concept has not been integrated in the education strategy, however, some sections of ESD is included into the education system in secondary and high schools curricula.

- Modest improvements have been made to developing a systematic and sustainable follow-up systems and statistics for monitoring the environmental situation in Kazakhstan. To date, the system of greenhouse gases emission monitoring has been established in line with international standards.

- Tools and methodologies have been developed for ecosystem-based assessment and management of biodiversity conservation and access to sustainable water services. Two significant river basin IWRM plans have been developed significantly contributing to biodiversity conservation planning.

- A land degradation assessment system in place through the creation of national capacity to develop and maintain national land degradation assessment system. The methodology for the assessment is included into the national LD action plan and is expected to be completed in 2015. Ten significant transboundary water and eco-system issues identified and recognized in national policy-making and shared with the neighbouring countries contributing to improved shared management of transboundary water and eco-system conservation.

- The base for comprehensive approach in fisheries management was introduced within the Caspian Sea region.

- Land authorities and stakeholders have improved their capacity to implement models for land planning and management and landscape conservation in steppe and rangeland areas. Tools for landscape level conservation and planning have been developed and integrated into the stakeholders’ policies and practices.
Sustainable crop rotations have been targeted within two projects: Climate Risk Management and the Climate Resilience of Wheat. Specific measures have been developed to increase the adaptability of crops to climate change and land degradation.

A number of educators and media have had the opportunity to include national sustainability issues in their work.

30 journalists have been trained and equipped to report on sustainable development issues accurately, based on local language resource materials.

**Agency Outcome 2**: The Government, industries and civil society take steps to adapt to climate change and mitigate its impact through energy efficiency measures and climate change adaptation policies.

The level of awareness related to climate change seem to have risen among UNCT stakeholders for about 50 percent as a result of their engagement and pursuit of joint activities.

A national climate change strategic discussion, with a focus on most vulnerable economic sectors taking into account ecosystem vulnerability and adaptation to climate change needs, has been initiated with the approval of the Concept for Transition to Green Economy. The Concept envisages a cross sectorial approach to integrate sustainable practices in the entire economy. The Concept for Transition to Green Economy serves as the basis to introduce climate change into the national legislation.

The impacts of climate variability and change improved with the completion of 10 studies developed and made available for local partners to study and evaluate for national policy-making purposes.

**Agency Outcome 3**: National authorities and communities are better prepared and respond to natural and man-made disasters.

**Main Results:**

Government’s capacity to prepare and respond to disaster at community level has been enhanced. Disaster management strategies and emergency preparedness plans have been developed and regularly updated for two disaster prone zones. The national emergency preparedness plan integrates international response mechanisms including practices for community preparedness.

DRR/resilience elements were incorporated into the school based emergency system and learning process. In addition, the resilience of sample 29 schools and 8 kindergartens was strengthened by enabling them to better prepare for, mitigate and respond to disasters.

Child-participatory advocacy helped to bring the issues of risks and DRR to the attention of key stakeholders at the local, national and international levels.

DRR good practices were documented and presented at the National Conference on Child-centred DRR by school children, teachers and school management. The existing bottlenecks in DRR like lack of culture of emergency response, lack of public information on disaster risks or insufficient coordination are raised during the risk and vulnerability analysis planned for 2014.
UNDAF Outcome III - Effective Governance

**Target:** By 2015, state actors at all levels and civil society are more capable and accountable of ensuring the rights and needs of the population, particularly vulnerable groups.

As reported in the UN Country Situation Analysis Report in 2014, the UNCT has stepped up its advocacy and advice to the Government on strengthening the rule of law, protecting/respecting/fulfilling human rights and meeting public expectations of just and fair development in line with the HRBA and gender integration policies. This has included encouraging Kazakhstan to adopt a new, comprehensive and participatory National Human Rights Action Plan to ensure implementation in a holistic and comprehensive manner of recommendations from all UN human rights mechanisms (including those from the UPR, Treaty Bodies and Special Procedures). The UNCT and individual UN agencies have worked diligently towards strengthening the Government capacities to report to and follow up to recommendations of relevant UN human rights treaties and mechanisms. UNCT advocacy however has not resulted in actions on the part of the Government to develop an NHRAP covering the period to 202 due to lack of political commitment; however, resulted in adopting two action plans in response to the 1st and 2nd cycles of the Universal Periodic Reviews (the second one is pending finalisation and approval at the time of report writing). The UNCT has continued advocating for and giving capacity-building support to local authorities and communities, in line with the national programme to gradually decentralize planning, budgeting and management of socioeconomic programmes.

One of the areas where there’s been remarkable progress was the adoption in July 2013 of the law on the national preventive mechanism mentioned earlier with allocation of funds for its functioning and establishment of the NPM. While the scope of its mandate may not be in full compliance with the Optional Protocol to the Convention against Torture, Other Cruel, Inhuman or Degrading Treatment and Punishment, the Government with UNCT support is currently undertaking efforts to expand its mandate.

With support from UNCT to formulation and adoption processes, the law on access to information was adopted in November 2015. While several recommendations of the UNCT have not been reflected in the final draft the very fact of the adoption of the law is a positive development.

**Areas which mark lack of progress and are a cause of concern are:**

- Areas which mark lack of progress and are a cause of concern are:
  - the adoption of specific legislation for refugees;
  - the OPCAT national preventive mechanism’s effective functioning;
  - fair administration of justice and strict compliance with fair trial guarantees in criminal procedure (although some attempts have been made by the Government to improve equality of arms in the court proceedings by establishing an investigative judge institution);
  - legislation on the right to information/access to information and freedom of expression;
  - freedom of peaceful assembly and association;
  - freedom of religion or belief;
  - legislation on elections; and
  - participation of political parties and CSOs in dialogue platforms.

**Agency Outcome 1:** National institutions have better capacity for protection and promotion of human rights, and ensuring access to justice for all. Kazakhstan has actively engaged with UN human rights mechanisms with Kazakhstan being a state party to most of the core human rights treaties, state’s regular and timely reporting, standing invitation to Special Procedures and hosting visits of
Special Procedures mandate-holders (visits of six special rapporteurs during the 2010-2015 UNDAF\(^9\) and one follow-up visit) and accepting individual communications procedure under four human rights treaties\(^10\). Implementation of recommendations received and views adopted on individual communications will require more of UNCT advocacy and support.

**Main Results:**

- Two main laws have been adopted during the UNDAF 2010-2015 implementation period contributing to national institutions improved capacity for protection and promotion of human rights. These are: Law on prevention of domestic violence adopted in the end of 2009 with amendments to the Law on prevention of domestic violence adopted in 2014, Gender Equality Law (Law on state guarantees of equal rights and opportunities for men and women) adopted at the end of 2009. The Law on Social Procurement adopted in December 2015 has been defined as controversial as fails to recognize current expertise and diversity of CSOs and provides a framework for future dependency on state funding. Also, it limits the ability of CSO providing services to the most vulnerable population by favouring larger, better established organizations. This is an example where UN organizations, through a stronger concerted effort, failed to impact the development of this specific legislation.

- During the reporting period the Government has also reformed its criminal, criminal procedure legislation as well as legislation on administrative violations. Despite consistent support to making sure the new Criminal Code, Code of Criminal Procedure, Code of Administrative Violations and the Penitentiary Code are brought to closer compliance with Kazakhstan’s international obligations, of various aspects the four fall short of being compliant.

**Agency Outcome 2:** The Parliament, sub-national legislative bodies and civil society organizations enjoy effective dialogue and collaboration in policy-making, elective and legislative processes.

**Main results:**

- Civil society organizations have been actively engaged in community mobilization and provision of services through the implementation of UNDAF project activities. More than 300 organizations benefit from capacity development initiatives. Furthermore, the concept of volunteerism has been successfully integrated in national policies.

- The state through the Foreign Ministry has actively involved CSOs in the dialogue through the Human Dimension Dialogue Platform in the last three years; however, implementation of recommendations made there is yet to be seen.

**Agency Outcome 3:** Central and local governments operate in a more effective, transparent and accountable manner.

**Main Results:**

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\(^9\) Special Rapporteur on adequate housing as a component of the right to an adequate standard of living, and on the right to non-discrimination in this context (2010), Special Rapporteur on the right to education (2011), Special Rapporteur on contemporary forms of slavery, including its causes and consequences (2012 and 2014), Special Rapporteur on freedom of religion or belief (2014), Special Rapporteur on the rights to freedom of peaceful assembly and of association (2015), Special Rapporteur on the implications for human rights of the environmentally sound management and disposal of hazardous substances and wastes (2015)

\(^10\) Optional Protocol to the Convention on Elimination of All Forms of Discrimination against Women, Convention against Torture and Other Cruel, Inhuman or Degrading Treatment of Punishment, Convention on Elimination of Racial Discrimination and Optional Protocol to the International Covenant on Civil and Political Rights
Border management strategies and plans of action for border and customs authorities to exercise enhanced capacities for control and surveillance have been produces. In line with these procedures working practices at borders have been reformed.

National and regional capacities for countering illicit drug trafficking and related crime has been initiated. A system for developing and implementing evidence-based and human rights compliant drug policies and employ analytical capacities of relevant regional organizations has been enhanced. For example, the agreement on establishment of CARICC has been ratified by the parliaments and the centre established, operational and fully integrated within national operating system.

Chapter 4  Key Messages

A series of messages were obtained during the key informant interviews, which are reproduced hereunder:

Government stakeholders

- The UN are a trusted and respected partner, largely responsive to national development needs. The Government of Kazakhstan views the UNCT as an important partner in furthering the legal and policy agenda in line with international practices
- There is a strong interest and motivation in continuing collaboration and incorporating best international practices across the five programming principles
- Kazakhstan has achieved remarkable progress since independence and continues to seek exposures to best international practice and participation in international fora to consolidate the achievement and commitment. The UN is an important partner in this endeavour.
- UNDAF helps the Government of Kazakhstan (GoK) to better understand how the UN system works and contributes strengthening and improving cross-sector GoK coordination and communication.
- Flexibility of the UN is recognized and appreciated by the GoK, although greater flexibility project cycles is required if possible, particularly given the relatively long time frame of the UNDAF and the evolution of the context over a five-year period
- Access to Learning should be facilitated by improving availability of UN documents in the Russian language, which is one of the official UN languages.
- The UNCT should create a surge capacity in inter-agency cooperation on issues like Climate Change and Disaster Preparedness and Risk Reduction
- A number of government respondents described the cooperation with non-resident UN Agenciesas difficult and time consuming, often with uncertain outcomes.
- There should be clearer delineation of function between the UN and government. For example, policy development should include UN engagement and provision of policy guidance and knowledge transfer whilst roll out should be left to the government of Kazakhstan with UN expert and Technical Assistance support

Civil society representatives

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11 Please note that these key messages represent a very limited view of CSOs interviewed during the evaluation
• Support organizational development of CSO to improve research, advocacy, fundraising capacity to further meaningful participation of civil society in evidence based policy making
• Support the cooperation and networking capacities among CSO working on cross sectorial interventions such and CSOs working with Youth, Children or Women etc.
• Resources for training should be carefully planned to build on existing capacities and previous achievements to ensure continuity and advancement

Chapter 5: Monitoring and Evaluation

Guided by the principles of Results Based Management and decision making, the UN Country Team, remains committed to effective and rigorous monitoring and evaluation of the UNDAF implementation. Some of the Performance monitoring tools and mechanisms have been accordingly instituted – the monitoring and evaluation plan was in place (Annex V of this report). However, data and information collection methodologies as well as related performance monitoring processes have not been instituted to the required level of excellence.

At this stage, it is also important to mention the relevance and importance of the management response and the systematic planning since it is an integral part of the evaluation process. The UNDAF evaluation management response is a document which comprises the recommendations of the evaluation report and the responses to these recommendations by the UNCT and the national government. The management response is a crucial step to improve the timely and effective use of evaluations. Through the management response process, evaluation stakeholders review the evaluation recommendations and agree on what follow up steps and actions will be taken to implement the recommendations and also specify implementation accountabilities and time-frame. It is also an opportunity for stakeholders to reject any recommendations that cannot be considered. Where recommendations are rejected, the management response should provide detailed justification of the reasons for rejection.

During the UNDAF 2010-2015 design process, the shortages of quality data and weaknesses of the national statistical system have emerged. In order to address this challenge, and to ensure the availability of quality, accurate, verifiable, socioeconomic and gender-disaggregated data, only individual agencies of the UNCT worked closely with the National Statistical Office. The new law on statistics limits access to data only to research institutions, limiting access to data that is commonly considered publicly available. UNICEF has signed a Memorandum of Understanding (MoU) with the government enabling data access. Lack of access to data due to internal regulations limiting access to research institutions, should be tackled by the UNCT through a concerted action both with the government and individual institutions. This could improve monitoring, reporting and programming of future intervention.

The monitoring and evaluation approach envisaged regular meetings and produce brief reports on progress in implementation as well as opportunities and constraints faced during the UNDAF cycle. Annual Review Meeting, were considered a key instrument to ensure effective UNDAF implementation, to be conducted jointly with the Government of Kazakhstan. Also, a joint mid-term evaluation was envisaged to take place at mid-point. The semi-annual reviews were assessed as unnecessary and impossible to deliver considering the workload this has not been conducted. Consequently, there are no reports written against UNDAF outcomes and indicators except for occasional reporting. Individual agencies commissioned individual programme and project evaluations but no UNDAF review was conducted.

During the 2010-2015 UNDAF implementation, the UNCT and national partners delivered a large number of programs and projects amounting to the total value of USD 113 million, of which 36% were joint programs and 64% were individual agencies programs. The funds were almost equally distributed among the three Outcomes.

To further strengthen internal monitoring and evaluation capacity, the UNCT should consider establishing Outcome Boards (OBs), an inter-agency Monitoring and Evaluation Group (MEG), and strengthen the Monitoring and Evaluation capacity in general, in cooperation with the government. Under the leadership of the UNCT, the OBs and MEG Group could to operate in accordance with the terms of reference with specific responsibilities related to PFD Work Plans, M&E Action Plans, regular progress review of the PFD Outcomes, and other as determined by the UNCT. The OBs and MEG could work closely with the National Statistical Office and other relevant national and partner agencies and institutions to ensure adequate data access and support capacities. Aside from raising the overall data capacity of these institutions, thus data quality, it would improve monitoring of PFD.

Chapter 6   Lessons and best practices

UNDAF mechanisms are vitally important to keep the UNDAF/PFD as a dynamic framework of UN assistance to the country. As such the Thematic Sub-Groups play a critical role in ensuring that the UNDAF/PFD remains part of a dynamic process.

The trust given by the Government of Kazakhstan to the UN and the non-political nature of the UN is a strength that played an important role in the attainment of the achievements. The gradual process of incorporating best international practices across sectors and policies is on-going and should be maintained over the course of the PFD implementation. However, the particular circumstances by which the host government is also the major donor, requires distinct political and managerial skills to ensure the values of the UN are not compromised.

Publications and materials, especially those that are directly relevant to Kazakhstan’s science, culture and history, climate change and modern technology should be available for distribution. Often these materials are available but there is a significant English language knowledge deficiency affecting learning opportunities. An active stakeholder participation in prioritising the material needed and to consider the need translate material could be helpful in this transitional period.

The support to the process of adoption of UN Conventions enables the process of development and modernization of national legislation. UNCT should identify UN Conventions which could further the modernisation of Kazakh legislative framework in UNDAF/PFD intervention and priority areas.

Chapter 7   Conclusions and Recommendations

This section provides an overview of the main conclusions and recommendations per evaluation criteria. A Summary matrix which recapitulates the main findings through a summative presentation of the main Conclusions (per evaluation criteria), Supporting evidence and Main Recommendations, has also been prepared for easier reference.
Main Conclusions

Relevance

1. The 2010-2015 UNDAF overall, as a platform for technical and operational cooperation has been highly relevant to the country’s needs in support to democratic and socio economic reform and development.

2. The relevance of individual projects and activities is generally very high as they are based on the priority areas drawn in national strategic documents during the period of the UNDAF implementation.

3. The UNDAF design promotes a multiagency approach. It formulates topical pillars for systematic intervention merging organizational capacity, knowledge and experience. However, UNDAF was not particularly effective in coordinating programme implementation. Despite implementing a considerable number of Joint programmes during the UNDAF implementation period, it failed to stimulate a cohesive implementation, lacking synergy of action leading to a fragmentation in the program delivery.

4. The UNDAF monitoring and evaluation framework does not provide the necessary tools for appropriate monitoring and formulation of results. The M&E framework focuses on quantitative indicators, often not available or reliable, and is too large in scope. The M&E framework lacks the tools to monitor institutional and social change and makes the process of attribution of results difficult.

Effectiveness

5. Overall, the quality of UNDAF activities has been high, but the magnitude of these activities’ contribution to progress of UNDAF Outcomes has been difficult to quantify.

6. There is verifiable progress in all three UNDAF Outcomes. Specifically, in capacity development of data collection, management and reporting, advancing legal and policy framework on gender, child protection and generally improving the human rights conditions for PwDs, people living with HIV/AIDS, as well as environmental protection and land degradation. Nevertheless, attribution has been challenging due to lack or regular reporting against UNDAF stated objectives and lack of a UNDAF mid-term evaluation.

7. The engagement of the UN has fostered the development of more progressive policies in areas that have a more conservative attitude. Working on inclusive policies has influenced facts on the ground and brought to an institutional change. It has also facilitated the engagement of local authorities and service providers on local level. It has also initiated a process that has been neglected such as community engagement and ignited a more vibrant civil society in Kazakhstan.

8. There has been evidence of change in attitude that in the medium term led to policy development and institutional change. There has also been evidence to changes in the national legislative framework, impacting the change in attitudes and transfer of practices and knowledge.
**Sustainability**

9. Most effects and outcomes of the project implemented within the UNDAF framework are likely sustainable especially in terms of advanced policy and legislative framework, which builds sustainable policy prerequisites for the continuation of reforms in child protection, environmental protection, gender and combating domestic violence etc.

**Recommendations**

1. Use momentum created by UNDAF to further the collaboration and substantial coordination with government and non-government stakeholders within the PFD.
2. Develop and operationalize thematic groups (result groups) as platform for inter-agency and inter-sectoral collaboration stimulating continuous and substantive collaboration with government and civil society.
3. See to establish focal points on thematic issues in each institution to ensure access, follow up and continuous communication.
4. Focus on activities that generate good response by partners and other stakeholders and show notable result trends like: intensify policy and advocacy engagement and dialogue, streamline activities supporting the mechanism for participatory engagement of CSOs and local government institutions, enhancing the common and meaningful approach as UNCT on cross sectoral issues in collaboration with national and local stakeholders.
5. UNCT team should also improve cooperation and coordination with the EU Delegation and other representatives of the donor community.
6. UNCT and the RC in particular should demonstrate stronger leadership in support to a meaningful collaboration of the UNCT.
7. The UNCT should strive to improve Coordination of Joint Programmes to adequately respond to joint project implementation requirements in the field by creating synergies and demonstrate outcome oriented action.
8. A monitoring plan based on SMART indicators and reliable baseline information would enable the UNCT to document and demonstrate attribution of tangible results to the UNDAF related activities. Ensure the PFD M&E Framework in line with revised Guidelines for Preparation of UNDAF/PFD.
9. To further strengthen internal monitoring and evaluation capacity, the UNCT should consider establishing Outcome Boards (OBs), an inter-agency Monitoring and Evaluation Group (MEG), and strengthen the Monitoring and Evaluation capacity in general in cooperation with the government. Under the leadership of the UNCT, the OBs and MEG Group could to operate in accordance with the terms of reference with specific responsibilities related to PFD Work Plans, M&E Action Plans, regular progress review of the PFD Outcomes, and other as determined by the UNCT. The OBs and MEG could work closely with the National Statistical Office and other relevant national and partner agencies and institutions to ensure adequate data access and support capacities. Aside from raising the overall data capacity of these institutions, thus data quality, it would to ensure improved monitoring of PFD.
10. Strengthen the requirements and ensure these requirements are followed by appropriate action in ensuring timely mid-term and final evaluations for PFD and Joint Projects.
11. Use momentum created by the UNDAF to further the national dialogue and decision making in creating a functional thematic cooperation with government and CSOs. This is especially
important in data collection and data access for the purposes of joint monitoring and validation of results.

12. Take advantage of the positive and constructive UNCT position in advancing the socio-economic position of Kazakhstan and streamline the method and format of work. There should be clearer delineation of function between the UN and government. For example, policy development should include UN engagement and provision of policy guidance and knowledge transfer whilst roll out should be left to the government of Kazakhstan, with UN expert and Technical Assistance support.

13. UNCT should seek opportunities to build wider alliances and unite authorities, civil society and the private sector around key PFD priority areas through advocacy and resource mobilization to further the policy and legislative reform process.

14. Engage with government and CSO on advocacy and policy issue considered as priority. The UNCT should continue and broaden the support the organizational capacity development of CSOs, to engage in research, advocacy and evidence based policy making. CSOs should be supported in developing networks connecting organizations pursuing similar goals to strengthen expertise, transfer of knowledge and overall cooperation.

The upcoming 2016-2020 period will be illustrative in setting a strong basis for a transition defining an effective model of UN engagement in upper/high income counties. The UNCT and individual agencies should take advantage of the successful practices and export the best amongst these to the PFD implementation.
<table>
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<th>Conclusions</th>
<th>Supporting Evidence/examples</th>
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<tr>
<td>1. The 2010-2015 UNDAF overall as a platform for technical and operational cooperation has been highly relevant to the country’s needs in support to democratic and socio economic reform and development.</td>
<td>Stakeholder interviews and on line survey as well as evidence gathered through the desk review suggest that inter-agency coordination and collaboration with government and non-government stakeholders continues to be vital. Stakeholder consultations and research show that UNCT is considered a valuable partner by the government of Kazakhstan for policy development and technical cooperation.</td>
<td>Use momentum created by UNDAF to further the collaboration and substantial coordination with government and non-government stakeholders within the PFD. Develop and operationalize thematic groups (result groups) as platform for inter-agency and inter-sectoral collaboration. Stimulating continuous and substantive collaboration with government and civil society. See to establish focal points on thematic issues in each institution to ensure access, follow up and continuous communication.</td>
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<td>2. The relevance of individual projects and activities is generally very high as they are based on the priority areas drawn in national strategic documents during the period of the UNDAF implementation.</td>
<td>The UNDAF served as a general platform for the UNCT but agencies largely nurtured bilateral relations with traditional partners. The UNCT has not been recognized by partners as a strong element in the UN intervention in Kazakhstan. Evidence: Multiple stakeholder interviews and on line survey.</td>
<td>Focus on activities that generate good response by partners and other stakeholders and show notable result trends like: intensify policy and advocacy engagement and dialogue, streamline activities supporting the mechanism for participatory engagement of CSOs and local government institutions, enhancing the common and meaningful approach as UNCT on cross sectoral issues in collaboration with national and local stakeholders. UNCT team should also improve cooperation and coordination with the EU Delegation and other representatives of the donor community.</td>
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<td>3. The UNDAF design promotes a multiagency approach. It formulates topical pillars for systematic intervention merging organizational capacity, knowledge and experience. However, UNDAF was not particularly effective in coordinating programme implementation. Despite implementing a considerable number of Joint programmes, it failed to stimulate a cohesive implementation, lacking synergy of action leading to a fragmentation in the program delivery.</td>
<td>Project UN Joint Programme documents, Joint Programme mid-term evaluations, final reports as well as stakeholder interview confirm lack of synergies among agency’s mandates and expertise.</td>
<td>UNCT and the RC in particular should demonstrate stronger leadership in support to a meaningful collaboration of the UNCT. The UNCT should strive to improve Coordination of Joint Programmes to adequately respond to joint project implementation requirements in the field by creating synergies and demonstrate outcome oriented action.</td>
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5. The UNDAF monitoring and evaluation framework does not provide the necessary tools for appropriate monitoring and formulation of results. The M&E framework focuses on quantitative indicators, often not available or reliable, and is too large in scope. The M&E framework lacks the tools to monitor institutional and social change and makes the process of attribution of results difficult.

The UNDAF has been monitored by a basic monitoring framework based on quantitative indicators. No evidence of systematic monitoring with SMART indicators and result based reporting.

A monitoring plan based on SMART indicators and reliable baseline information would enable the UNCT to document and demonstrate attribution of tangible results to the UNDAF related activities.

To further strengthen internal monitoring and evaluation capacity, the UNCT should consider establishing Outcome Boards (OBs), an inter-agency Monitoring and Evaluation Group (MEG), and strengthen the Monitoring and Evaluation capacity in general in cooperation with the government. Under the leadership of the UNCT, the OBs and MEG Group could to operate in accordance with the terms of reference with specific responsibilities related to PFD Work Plans, M&E Action Plans, regular progress review of the PFD Outcomes, and other as determined by the UNCT. The OBs and MEG could work closely with the National Statistical Office and other relevant national and partner agencies and institutions to ensure adequate data access and support capacities. Aside from raising the overall data capacity of these institutions, thus data quality, it would to ensure improved monitoring of PFD.

### Effectiveness

6. Overall, the quality of UNDAF activities has been high, but the magnitude of these activities' contribution to progress of UNDAF Outcomes has been difficult to quantify.

Even though the results of most Project activities are difficult to measure without baselines and metrics, the evaluation was able to directionally assess the quality of completed activities based on extensive stakeholder interviews, web based survey and desk research.

Strengthen the requirements and ensure these requirements are followed by appropriate action in ensuring timely mid-term and final evaluations for PFD and Joint Projects.

7. There is verifiable progress in all three UNDAF Outcomes. Specifically, in capacity development of data collection, management and reporting, advancing legal and policy framework on gender, child protection and generally improving the human rights conditions for PwDs, people living with HIV/AIDS, as well as environmental protection and land degradation

Nevertheless, attribution has been challenging due to lack or regular reporting against UNDAF stated objectives and lack of a UNDAF mid-term evaluation.

Stakeholders provided substantial positive feedback as important pre-cursors to UNCT cooperation; Interviews of government stakeholders, civil society representatives and other partners indicate an appreciation for having a responsive partner within the UN.

Use momentum created by the UNDAF to further the national dialogue and decision making in creating a functional thematic cooperation with government and CSOs. This is especially important in data collection and data access for the purposes of joint monitoring and validation of results.

8. The engagement of the UN has fostered the development

Respondents provided meaningful and positive feedback as important pre-cursors to UNCT

Take advantage of the positive and constructive UNCT position in
of more progressive policies in areas that have a more conservative attitude. Working on inclusive policies has influenced facts on the ground and brought to an institutional change. It has also facilitated the engagement of local authorities and service providers on local level. It has also initiated a process that has been neglected such as community engagement and ignited a more vibrant civil society in Kazakhstan.

9. There has been evidence of change in attitude that in the medium term leads to policy development and institutional change. As well as changes to the national legislation as a result of such change in attitudes and transfer of practices and knowledge.

Stakeholder interviews have supported this conclusion and stated supportive statements particularly in the area of health, child protection and environmental protection.

UNCT should seek opportunities to build wider alliances and unite authorities, civil society and the private sector around key PFD priority areas through advocacy and resource mobilization to further the policy and legislative reform process.

### Sustainability

10. Most effects and outcomes of the project implemented within the UNDAF framework are likely sustainable especially in terms of advanced policy and legislative framework, which builds sustainable policy prerequisites for the continuation of reforms in child protection, environmental protection, gender and combating domestic violence.

The UNDAF M&E matrix list the number of policies and legislations advanced or adopted during 2010-2015 contributing to the stated UNDAF Outcomes. This has been largely validated during interviews with government stakeholders during the course of the evaluation.

Engage with government and CSO on advocacy and policy issue considered as priority. The UNCT should continue and broaden the support the organizational capacity development of CSOs, to engage in research, advocacy and evidence based policy making. CSOs should be supported in developing networks connecting organizations pursuing similar goals to strengthen expertise, transfer of knowledge and overall cooperation.