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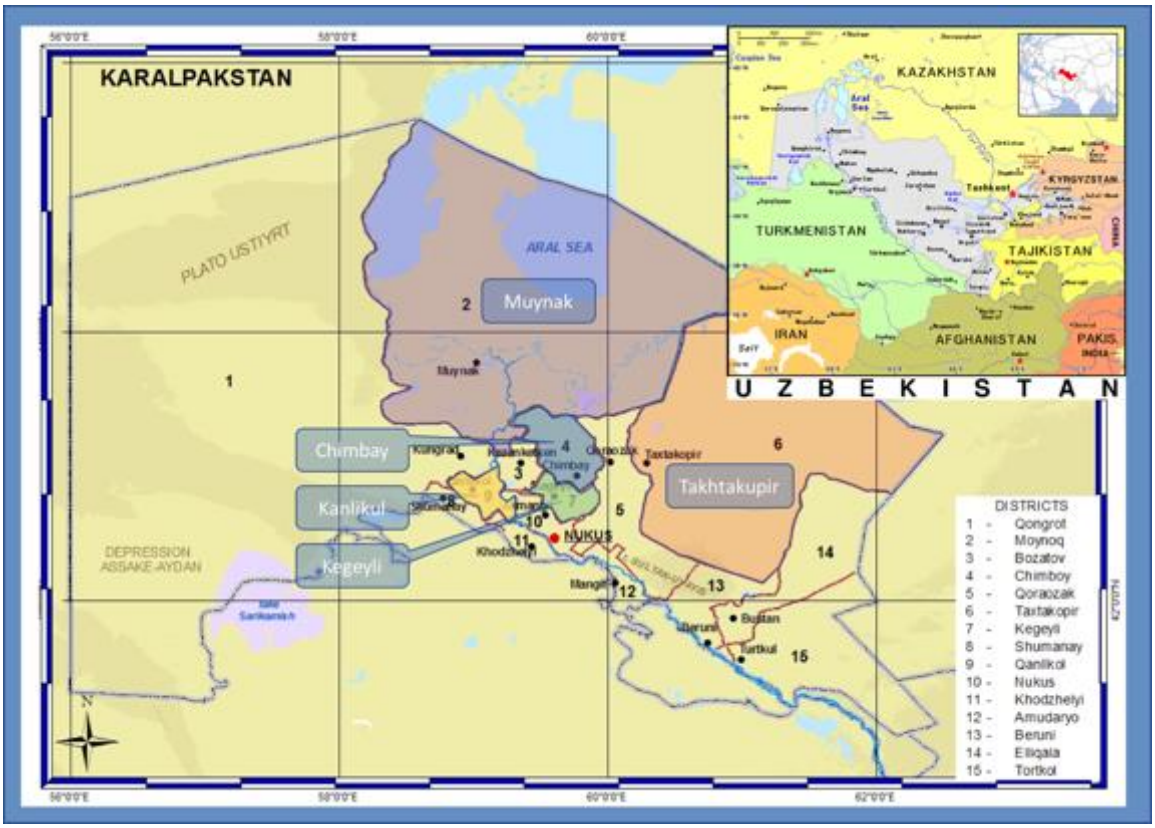

Mid-Term Review FINAL Report

AF Agency:	United Nations Development Programme (UNDP)
Implementing Partner:	Centre of Hydro-meteorological Service
Funding:	Adaptation Fund (AF)
UNDP PIMS:	5002
UNDP Atlas Project ID:	00082613
Project Timeline:	June 2014 – May 2020

Submitted by:
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List of Abbreviations and Acronyms

AF	Adaptation Fund
APR	Annual Progress Report
AWP	Annual Work Plan
CDR	Combined Delivery Report
CVI	Conditional Vulnerability Index
DEWS	Drought Early Warning System
GDP	Gross Domestic Product
GEF	Global Environment Facility
MAWR	Ministry of Agriculture and Water Resources
M&E	Monitoring and Evaluation
MIE	Multilateral Implementing Entity
MTR	Mid-Term Review
NGO	Non-Governmental Organization
NIM	National Implementation Modality
NPC	National Project Coordinator
PAC	Project Appraisal Committee
PB	Project Board
PIU	Project Implementation Unit
PM	Project Manager
POPP	Programme and Operations Policies and Procedures
PPR	Project Performance Report
PRF	Project Results Framework
RTA	Regional Technical Advisor
SDGs	Sustainable Development Goals
SLM	Sustainable Land Management
SMART	Specific, Measurable, Attainable, Relevant and Time-bound
SNC	Second National Communication
TOR	Terms of Reference
UN	United Nations
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNEG	United Nations Evaluation Group
UNV	United Nations Volunteer
USD	United States Dollar
WMO	World Meteorological Organization

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DISCLAIMER

1. Main Conclusions and Recommendations[1]

1.1. Background - Introduction

This report presents the findings of the Mid-Term Review (MTR) of the UNDP-supported AF-Financed Government of Uzbekistan Project "*Developing climate resilience of farming communities in the drought prone parts of Uzbekistan*". This MTR was performed by an Independent Reviewing Team composed of Mr. Jean-Joseph Bellamy and Ms. Saida Yusupova on behalf of UNDP.

According to the project document formulated in 2010-2013, Uzbekistan is a lower middle income, resource rich, doubly-landlocked country, strategically located in the heart of Central Asia. The population is over 32M people; despite steady economic growth in the last decade, the impact of economic growth on improving livelihoods has been inadequate with a growing gap between urban and rural areas. 26.9% of labor-aged population is involved in the agriculture sector, and the share of this sector plus forestry and fishery into the national GDP remains high though it declined during the recent decade (33.4% in 1990 to 18.1% in 2016 and 19.2% in 2017). As a result, the dependence on agriculture makes the country highly sensitive to climate variability and long-term climate change.

The total land area of Uzbekistan is 448,900 km2, of which 78% are plains, and 22% are mountains and mountainous valleys. Its territory is classified as a drought zone, susceptible to land degradation and desertification. Since 1951, there has been an observed trend of warming within Uzbekistan. The considerable variation in current climate across the country suggests that regions and oblasts will find themselves subject to different impacts under future climate change, and thus adaptation responses will need to vary country-wide. These localized variations highlight the need for improved local data for improved forecasting and climate modeling.

Water resource management is a key development challenge in Uzbekistan, including the fact that almost 90% of the country's water resources originate from mountain catchments located in neighboring countries. Regional water-sharing is, therefore, a major constraining factor to sustainable water supply in Uzbekistan. Water use by the agriculture sector from surface water sources constitutes 93% of overall water use, and it is mostly coming from two major river systems: the Amu Darya and the Syr Darya. Water is used in an unsustainable way and wasted due to ageing irrigation infrastructure.

Irrigated land forms the basis of agriculture in Uzbekistan. A major cause of declining agricultural productivity is inappropriate irrigation and under-maintained drainage systems, which together increase salinization and water logging and undermine the fertility of arable land. Livestock production is a primary source of investment for many people in Uzbekistan; however, productivity of this activity is also decreasing and negatively impacted by climate change with reduction of pasture productivity including overgrazing of marginal land particularly concentrated in the vicinity of settlements and around wells. Agriculture is indeed identified as the most vulnerable sector to the anticipated impacts of climate change. As per the Third National Communication (TNC) of Uzbekistan, climate change has already contributed to the reduction of agricultural crop productivity and yields, and of cattle breeding through the decrease of pastures productivity, which may affect negatively national food security.

At the time of the formulation of this project and in addition to the negative impacts due to climate variability and change, the outdated policies, legislation and minimal government support in the form of extension advice on land management practices were also contributing to the degradation of the environment. As agriculture was still largely state-controlled and governed by government policy or state decrees, the legacy of centralized policies in water management and agricultural practices, which were not suitable for local circumstances and resource availability, were also contributing factors to environmental degradation. It was compounded by obsolete agriculture practices that have remained similar to those used during the Soviet era. Farmers and pastoralists in the downstream, most arid regions such as Karakalpakstan have been particularly vulnerable, as they often receive no water from the upstream regions, especially during dry seasons. Karakalpakstan is the

1 Conclusions and Recommendations are in Chapter 1 with a brief background section. It is structured as an Executive Summary but also a stand-alone section presenting the highlights of this final evaluation.

poorest and most vulnerable region to climate change in Uzbekistan. It occupies about 166,600 km2 area, about a third of the country's total land area.

The project was formulated on the basis of four identified main barriers to be addressed in order for Karakalpakstan to adapt to climate change:

- There is no systematic extension service available to over 100,000 agricultural and pastoral farms in Uzbekistan;
- There is no comprehensive early warning system in place to guide water allocation and crop and pasture planning and management;
- There is no government policy nor financial incentives for large-scale adoption of adaptation measures;
- There are no integrated land use planning and policies for landscape level rehabilitation and sustainable land management to allow for the functional integrity of arid landscapes.

The objective of the project is "***to develop climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan.***" This objective will be achieved through four (4) outcomes (and 14 outputs):

1. The institutional and technical capacity for drought management and early warning developed
2. Climate resilient farming practices established on subsistence dekhan farms
3. Landscape level adaptation measures for soil conservation and moisture retention improves climate resilience of over 1,000,000 ha of land
4. Knowledge of climate resilient agricultural and pastoral production systems in arid lands generated and widely available

Table 1: Project Information Table

Project Title:	Developing climate resilience of farming communities in the drought prone parts of Uzbekistan		
UNDP Project ID (PIMS #):	5002	**AF Approval Date:**	February 10, 2014 (through an intersessional Decision B.22-23/6)
Award ID:	00066434	**Project Document Signature Date (date project began):**	May 26, 2014
Country:	Uzbekistan	**Date project manager hired:**	September 18, 2014
Region:	Central Asia	**Inception Workshop date:**	October 22, 2014 (Tashkent) October 27, 2014 (Nukus)
		Midterm Review date:	November-December 2017
		Planned closing date:	May 2020
Funding Agency:	AF	**If revised, proposed closing date:**	
Executing Agency:	Centre of Hydro-meteorological Services (Uzhydromet)		
Project Financing	at CEO endorsement (USD)		at Midterm Review (USD)
(1) AF financing:	4,990,878		4,990,878
(2) UNDP contribution:	200,000		200,000
Project Total Cost [1+2]:	5,190,878		5,190,878

This mid-term review report documents the achievements of the project and includes four chapters. Chapter 1 presents the main conclusions and recommendations; chapter 2 presents an overview of the project; chapter 3 briefly describes the objective, scope, methodology, evaluation users and limitations of the evaluation; chapter 4 presents the findings of the evaluation and relevant annexes are found at the back end of the report.

1.2. Conclusions[2]

Project Strategy

a) The project has been very relevant for Uzbekistan; even more so since the recently reforms of the agriculture sector.

2 This section *1.2 - Conclusions* and Section *1.3 - Recommendations* is translated in Russian in Annex 1.

The AF project is well aligned with national priorities, national policies and legal instruments, particularly the priorities identified this past year (the 2017-2021 five priorities areas and the Aral Sea programme 2017-2021) as well as with the reforms of the agriculture sector currently underway following several key government Decrees adopted in 2017. The project provides resources to address the barriers identified at the outset of the project and should contribute to the development of the resilience to climate change of farming and pastoral communities in the Karakalpakstan region. It is also well aligned with the AF results framework. The project is part of the UN partnership with the government of Uzbekistan, which, under UNDAF, supports the national priorities identified by the government of Uzbekistan with a focus on the most vulnerable populations in Uzbekistan.

b) It is a complex project strategy with a lack of clarity and logic to understand how planned activities will reach the expected results and particularly the targets.

Despite that the overall strategy is a clear response to national priorities, when reviewing the entire logical "*chain of results*" Activities ➔ Outputs ➔ Outcomes ➔ Objective, the PRF quickly becomes complex, particularly when reviewing outputs, indicators and targets set for measuring the progress of the project. The outputs were, in most cases, identified as deliverables with, in some cases, targets embedded in the output statements. With ambitious targets and the current context of the agriculture sector in Uzbekistan, it is difficult to know how results from project supported activities will reach these targets. The project document does not provide a useful "*blue print*" for the project team to guide the implementation of the project.

Progress Towards Results

c) The implementation of the project progresses unevenly.

The project is making progress and it has 2.5 more years of implementation left. It has made good progress under outcome 1 and 4 and it is anticipated that it will meet its targets under these two outcomes. However, regarding outcome 2 & 3, the focus is, currently, more on piloting and constituting a "*catalog of adaptation measures*" adapted to the Karakalpakstan region and less on an "*outreach model*" to reach out to thousands of farmers and communities in the region. In the meantime, when considering the project resources and the current context, the best the project can do under these two outcomes is to demonstrate adaptation measures and pilot an "*outreach model*" targeting farmers, dekhan farmers and small plot owners and promoting climate change adaptation measures. The targets under outcome 2 and 3 are too ambitious and will not be reached.

d) The "*outreach model*" planned to be established under output 1.4 to reach out to 40,000 dekhan farmers is insufficient.

The logic of the strategy to reach out to farming and pastoral communities is mostly through output 1.4 that is to establish a science-based extension services for the farming communities. However, this output has a very limited total budget of USD 58,000 (1.2% of the AF grant). It is completely insufficient and it will not provide the resources needed to end up with a viable and well performing extension service, which should "connect" with farming and pastoral communities in Karakalpakstan.

e) The project is addressing the four barriers limiting the development of the agriculture sector in Karakalpakstan and its adaptation to climate change.

Removing the identified barriers is critical for the development of the agricultural sector in Karakalpakstan and also for the success of the project that is to promote climate change adaptation. The project is timely and has been contributing to the removal of these barriers. The more effective the project will be, the less barriers will still limit the development of the agricultural sector in the region. It is anticipated that during the second part of the project, the project will use its "*catalog of adaptation measures*" and reach out to farming and pastoral communities to promote the adoption of these measures.

Project Implementation and Adaptive Management

f) The management arrangements are adequate but the management structure will need to be adapted to be more present in the Karakalpakstan region in the near future.

The management arrangements are adequate for the implementation of the project, including a good support from Uzhydromet, the National Implementing Partner. The project is implemented partly from the Tashkent office (outcome 1 and 4) and partly from the Nukus office (outcome 2 and 3). However, as the pace of activities

under outcome 2 and 3 increases, the project management structure needs to be reviewed and provide a greater presence of the project in the Karakalpakstan region. This management change has been discussed at the project board level and a decision was made at the December 2016 meeting to formally change the position of the project manager of the UN Joint Programme based in Nukus into a joint position including the responsibilities to coordinate activities under outcomes 2 and 3. This change is being implemented since January 2017.

g) The project set up a good structure to engage stakeholders.

Following good consultations with stakeholders undertaken during the design of the project, a good structure to engage stakeholders during the implementation of the project has been developed. It includes 2 inter-agency working groups that were formally established by government resolutions – one based in Tashkent and one in Nukus - and 5 initiatives groups – one in each pilot district. This structure provides the project with an excellent mechanism to link national decision makers with regional and district decision makers and ultimately with farming and pastoral communities. Meetings and workshops are taking place within these bodies to disseminate knowledge.

h) The disbursement of the AF grant is slow and it is estimated that the grant will not be expended by the end of project in May 2020.

As of the end of September 2017, total project expenditures amount to about USD 1.06M representing only 21% of the AF grant versus 56% of the project timeline. So far, 54% of the expenditures were expended on outcome one, 14% on outcome two, 4% on outcome three, 8% on outcome four and 20% on project management. When compared to the budget for each outcome, outcome 2 and 3 low expenditures are confirming the limited progress in these areas with respectively 11% and 2.5% of their budget expended so far. In the meantime, the project management expenditures stand at 20% of the total expended so far; this is high and it will need to decrease during the second phase of the implementation. Finally, when assessing the "*project burning rate*" it is doubtful that the remaining AF grant (USD 3.93) will be expended during the remaining 32 months of implementation; the project monthly expenditures would need to increase five-fold.

i) There is a complex set of indicators and targets to measure the performance of the project and some ambitious targets will not be achieved by the end of the project.

The set of 15 indicators and targets to measure the performance of the project is complex to understand and ambitious; it is complemented by a large set of yearly targets. The set of 15 indicators monitor the project at the output level and focus on quantitative results. However, the contribution of the project may not be measurable only in strict quantitative terms. With a mix of quantitative and qualitative indicators, the M&E system would have also provided qualitative findings measuring the capacities developed. Nevertheless, the M&E framework provides adequate monitoring and reporting information. The key challenge in this area is that some targets are much too ambitious and they will not be met by the project by May 2020. It is not clear how the project can reach out to 40,000 dekhan farmers to adopt adaptation measures, invest in greenhouses covering 20,000 ha, establish 10 cooperatives with a total number of 20,000 members and plant 70,000ha.

j) Knowledge management and communication is "embedded" in the strategy of the project; it provides tools and methods to disseminate knowledge to stakeholders/beneficiaries.

Knowledge management and communication is part of the expected results of the AF project. As such it is monitored through the M&E system in place which measures the performance of the project. With its information strategy, the project is now equipped with tools and methods to collect, structure, package and disseminate knowledge on climate change adaptation measures adapted to the Karakalpakstan region. It provides the project team with instruments to manage knowledge and communicate with stakeholders and beneficiaries. Currently, activities under this outcome are focusing much on raising awareness about adaptation measures. It is anticipated that, as the project needs to reach out to farming and pastoral communities, activities under this component will focus more on the adoption of these measures particularly through appropriate capacity development activities.

Sustainability

k) Project achievements should be sustained over the long-term.

The sustainability strategy presented in the project document is not fully convincing; particularly for achievements under outcome 2 and 3. It relies mostly on a potential uptake by beneficiaries of the adaptation measures that are being demonstrated in five districts. However, despite a not-so-convincing uptake of these best practices to replicate project achievements, those achievements that were demonstrated in the five pilot districts should be sustained over the long run. The implementation of these best practices should improve the livelihood of these farming and pastoral communities; hence they should be sustained by the beneficiaries of these piloted measures. The challenge resides with the replicability and scaling up of these adaptation measures after the project end.

1.3. Recommendations

Based on the findings of this mid-term review, the following recommendations are suggested.

Recommendation 1: It is recommended to analyze the new agriculture policy and legislation framework as well as the key programmes related to the project.

Issue to Address

Recently, the government passed new Decrees to reform the agriculture sector, particularly strengthening its extension services and the roles and responsibilities of the Council of Farmers, which was changed to the Council of Farmers, Dekhan Farmers and Household Plot Owners. Additionally, this past year, the government adopted its "*Strategy for Further Development 2017-2021*" and also in 2017, the government of the Republic of Karakalpakstan approved the "*State Programme for the Development of the Aral Sea 2017-2021*". These governmental new instruments are critical for the implementation of the project. The success of the project is mostly based on the adoption of adaptation measures by farming and pastoral communities in the Karakalpakstan region. It requires reaching out many farming and pastoral communities. The main approach to do that is through the development of a sustainable extension service and the capacity development of the Council of Farmers, Dekhan Farmers and Household Plot Owners, a government body linking policy makers with farmers/land users. A full review of these new instruments is needed, to assess how the project strategy fits within this new framework and how best the project can support these reforms within the context of the AF approved project strategy.

Who: Project Management Team

Feedback received from stakeholders confirms the necessity to continue to study the existing legal framework and monitor the current trend of reforming the agriculture sector, especially in the food security area with the risks of climate related event such as drought.

Recommendation 2: It is recommended to review the strategy of the project to emphasize the need to develop and pilot an "*outreach model*".

Issue to Address

In the first part of the project, the focus was much on piloting and constituting a "c*atalog of adaptation measures*" adapted to the Karakalpakstan region and less on the development of an "*outreach model*" to reach out to thousands of farmers and communities in the region. Yet, 63% of the AF grant has been allocated to the adoption of climate resilient farming practices by farming and pastoral communities and the implementation of community-based landscape level adaptation measures for soil conservation and moisture retention. One strategy to reach out to these communities has been through output 1.4 that is to establish a science-based extension services for the farming communities. However, this output has a very limited total budget of USD 58,000 (1.2% of the AF grant). It is completely insufficient and it will not provide the resources needed to end up with a viable and well performing extension service reaching out to thousands of farmers and that will bring change in these rural areas and improve their livelihoods.

It is recommended to fully review the strategy of the project and re-focus the project by building on the initial achievements under output 1.4 to develop an extended "*outreach model*"– an extension service – version that will be piloted with the support of the project in collaboration with the relevant national, regional and local institutions in the five pilot districts. The recommendation is to put the development of an extension service at the core of project activities moving forward. As the model is being implemented, capacities should be

developed, including discussion with relevant institutions to institutionalize such service with corresponding resources, mandates, skills and knowledge for staff, etc. The aim would ultimately be setting up a sustainable extension service[3] as a link between policy and legislation making and farmers (practitioners) but also as a mechanism to increase the efficiency of farms while adapting to climate change and increase the standard of living of farming and pastoral communities. As part of developing a sustainable extension service, it should also include the review of financing needs for implementing some of these adaptation measures, particularly for Dekhan farmers. In relation to current development in Uzbekistan, micro-financing mechanisms should be considered as financing options.

Who: Project Management Team and Project Board

Stakeholders confirm that the budget allocated to output 1.4 that is to establish science-based extension service for the farming communities in Karakalpakstan is clearly not enough and need to be revised upward.

Recommendation 3: It is recommended to review any existing community-based sustainable land management practices and the mechanisms to promote these practices; particularly any extension service experiences in Uzbekistan and in Central Asia.

Issue to Address

A central part of the project to ensure that farming and pastoral communities adopt adaptation measures is the establishment of an extension service. This is through such a service that promoting these measures can happen accompanied by appropriate training and knowledge transfer. It is also the mechanism for replicability and scaling up the appropriation of these adaptation measures to surrounding communities and possibly elsewhere in Uzbekistan. A recent government decree (No. PP-3318 of October 10, 2017) strengthened the role of the Council of Farmers as the mechanism to provide a comprehensive support to farmers, dekhan farms and household landowners in "*production, processing, storage and sale of agricultural products, including the implementation of modern agro-technical activities*". Based on this decree, the Council of Farmers is becoming a key organization for the development of the agricultural sector in Uzbekistan. In the meantime, the project has been supporting the development of a science-based extension service for these same farmers to assist them in adopting adaptation measures. Currently 2 extension services are functional and 3 more are being established with the support of the project. Within this context, it is recommended to conduct a review of existing community-based sustainable land management practices for farmers and pastoralists in Uzbekistan and in Central Asia as well as a review of international best practices and also the review of mechanisms – mostly extension services - to promote these practices to communities.

Who: Project Management Team

Recommendation 4: It is recommended to review and revised some targets to more achievable level.

Issue to Address

Most targets are too ambitious, including some targets embedded in output statements such as output 2.1, 2.2, 2.3 and 3.1. These ambitious targets include: at least 40,000 Dekhan farmers have adopted climate resilient conservation agriculture practices and water saving irrigation practices on 80,000 ha; over 70,000 ha of arid land of Karakalpakstan is covered with saksaul and tamarix plantations; 40% of targeted dekhan farmers have established horticulture greenhouses on 20,000 ha of farms; at least 20,000 people organized in at least 10 cooperatives at the Khokimiyat and Makhalla levels. It is not clear how the project can have this reach, particularly when considering that there are no existing extension services in place to strengthen and that as part of its implementation strategy, the project also needs to establish such services. It is anticipated that the project will not meet these targets by May 2020.

At this point, one dilemma facing the project is to decide if it is better to reach out broadly to farming and pastoral communities in Karakalpakstan to raise their awareness on the need to adapt to climate change and what they can do about it or to focus more on demonstrating and piloting an extension service in smaller areas such as the current five pilot districts with the goal of maximizing the number of farming and pastoral

3 A good discussion on "understanding extension" can be found on the FAO website at http://www.fao.org/docrep/t0060e/T0060E03.htm#Extension%20and%20education and on the "role of extension services" on the IFAD website at https://www.ifad.org/topic/resource/tags/rainfed_agriculture/2088038

communities adopting these measures in these areas; i.e. as opposed to a broader approach to raise awareness but less on the adoption (a change process) of adaptation measures. It is recommended to review carefully these targets within the strategic context of the project moving forward – particularly the focus on developing/piloting an extension service (see recommendation #1) - and identify appropriate and achievable targets by the end of the project. If targets are revised, some indicators in the "*Result Tracker*" of the PPRs will also need to be revised.

Who: Project Management Team, Project Board and UNDP

Stakeholders confirm that the current targets set at the outset of the project are very ambitious and will not be achieved with only this project supported activities. To be achieved, they will require the support of other similar projects in the years to come. In the meantime, regarding the focus on increasing the forest cover of the Aral seabed by 70,000ha, stakeholders mentioned the importance of the project to partner with other key stakeholders such as the State Forestry Committee and IFAS (International Fund for saving the Aral Sea). There is currently an initiative underway to develop a framework agreement in which the project should be part of it. Pulling resources together through this agreement could lead to good results reclaiming forest cover to lead to sand stabilization and soil desalinization.

Recommendation 5: It is recommended to extend the project until the AF grant will be expended.

Issue to Address

As of the end of September 2017, total project expenditures amount to about USD 1.06M representing only 21% of the AF grant versus 56% of the project timeline. When considering the average burning rate of the first 40 months of implementation of USD 26,420 per month and the remaining budget of USD 3.93M, it is doubtful that the AF grant will be fully expended by the end of the project in May 2020; the project monthly expenditures would need to increase five-fold. This low disbursement is partly due to the fact that this project had to face 2 critical delays: one at the start-up phase due to a longer than expected time to sign the project document; and the second delay estimated at 6 months due to the delayed transfer of the second tranche of the AF grant to UNDP Uzbekistan.

In the meantime, according to the "*Adaptation Fund Policy fore Project/Programme Delay (Amended in October 2017)*" – Article 3.1, the starting date of a project is the first day of the project's inception workshop (Decision B.18/29)[4], which would be October 22, 2014 for this AF project. Moreover, according to Article 14 of this policy "*an implementing entity may request for a project extension beyond the original completion date for up to 18 months for a concrete adaptation project if (i) no additional funds are required; (ii) the project's originally approved scope will not change; and (iii) the entity provides reasons and justifications for the extension*". According to Article 13, a project extension must be approved by the AF Board and that any request for additional time must be done through the submission of a request for a time extension using the AF template appended to the policy. Finally, according to Article 12, any delays should be reported through the PPRs.

Considering the above, it is recommended to review the starting date according to the AF policy and report this in the next PPR. It is also recommended to extend the project for at least 6 to 9 months corresponding to the implementation delays occurred so far. However, the exact duration of the time extension should be decided closer to the termination date of the project. It is proposed to review the timeline during the last quarter of 2018 when more detailed financial information will be available, including the remaining budget from the AF grant and submit a time extension request to the AF by November 2018.

Who: Project Management Team, Project Board and UNDP

Stakeholders confirm the proposal to extend the project implementation period (time extension) without changing the approved budget. They also suggested a 6 to 9 months extension, which should comply with the requirements of the AF and UNDP and submitted during the last quarter of 2018.

4 AF Policy for Project/Programme Delay (Amended in October 2017) - Article 3.1: For concrete adaptation projects/programmes the Board decided to consider the start date the first day of the project/programme's inception workshop (Decision B.18/29).

Recommendation 6: It is recommended to support Uzhydromet in making weather information and forecasts and climate change models available to farming and pastoral communities.

Issue to Address

The project is making good progress under outcome 1; it is contributing to strengthen the capacity of Uzhydromet by investing in better equipment to collect weather data and also by supporting the organization in developing weather forecast and models to assess climate change impacts. As per the World Meteorological Organization, investments in this area bring socio-economic benefits; all economic studies have consistently concluded with benefit-cost ratios greater than one. However, it is also clear that these services do not generate economic and social value unless users benefit from decisions as a result of the information provided. Therefore, in order to optimize the investments made in this area, it is recommended that the project focuses in making weather information and forecast and climate change models available to farming and pastoral communities (users). A feasibility study may be needed to assess the user needs related to weather information and to assess the potential bottlenecks that may exist to make this information readily available, such as public access to this type of information.

Who: Project Management Team, Project Board and Uzhydromet

Stakeholders confirm the need to give access to hydro-meteorological information to farming communities. Furthermore, consideration should be given to the development of a portal/platform for hosting hydro-meteorological, agro-meteorological, climatic data, statistical data, forecast information and information on the risk of dangerous hydro-meteorological events with varying levels of detail and access levels. The purpose of such an information portal/platform would be to create an information-base for assessing the likely damage from hazardous hydro-meteorological events and justify the inclusion of adaptation measures to reduce potential climate related damages in the country's economic development plans.

Recommendation 7: It is recommended to conduct a gender analysis in the five pilots.

Issue to Address

Gender considerations were not included in the design of this project and no specific sections discuss gender aspects of the project in the project document. In the meantime, the project team reports gender disaggregated data in PPRs. One indicator is singularly targeting women: "*Number of female lead horticulture greenhouses established*" but no quantitative target is set for this indicator. Considering that the project is targeting different groups of farmers (commercial farmers, dekhan farmers and small plot owners), it is recommended that the project conducts a gender analysis in the pilot areas to better understand gender roles and gender issues in farming and pastoral communities. It is recommended to conduct this analysis sooner than later, in order to provide critical information for the development of greenhouses as anticipated in the strategy of the project.

Who: Project Management Team and Project Board

Recommendation 8: It is recommended to organize "*Open Farmers' Days*" on pilots to bring national and regional decision makers and farmers/pastoralists together, observing field results and exchanging knowledge.

Issue to Address

The success of outcome 2 and 3 will depend mostly on the capacity of the project to reach out to farming and pastoral communities. Additionally, as a project it is crucial to build along the way the capacity of organizations such as Uzhydromet, Council of Farmers, local authorities, and also decision makers from ministries at regional and national levels. In addition to workshops and other training events, it is recommended to organize "*Open Farmers' Days*", where decision makers, local authorities, researchers, Council of Farmers representatives and of course farmers and pastoralists come together to visit, observe, exchange and share knowledge in the field. This is an excellent approach to acquire knowledge, build trust among stakeholders (farmers-local/regional organizations-national organizations), which should also lead to more adoption of climate change adaptation measures.

Who: Project Management Team and Project Board

Feedback from stakeholders confirm the recommendation to organize "Open days of farmers and forestry

workers" in the project pilot districts bringing decision-makers together with farmers to share experiences and knowledge, including results obtained in the field.

Recommendation 9: It confirms the Project Board decision to adapt the management structure ensuring more project presence in Karakalpakstan.

Issue to Address

Despite the current adequate management arrangements for the implementation of the project with an office in Tashkent focusing on outcome 1 and 4 and one office in Nukus focusing on outcome 2 and 3, it is expected that more project presence and effort is needed in the Karakalpakstan region in the near future to undertake more activities in the region, particularly reaching out to farmers and pastoralists. The Project Board has already reviewed this question and made the decision to change the current position of the project manager of the UN Joint Programme into a combined position taken also the responsibilities for coordinating the activities under outcome 2 and 3 of this project. The Reviewing Team confirm this decision that is being implemented since January 2017.

Who: Project Management Team and Project Board

Recommendation 10: It is recommended to add three more risks to the risk log of the project and report their status yearly.

Issue to Address

The review of the risk log revealed that the risks identified at the outset of the project are not comprehensive enough. They cover some good risk areas but the nature of this type of project has additional risks. It is recommended to add three (3) risks to the risk log of the project and report their respective status yearly through the PPRs. There are:

- A change in political support for promoting and integrating adaptation measures into the agricultural sector – (low);
- Insufficient capacity development and practical know-how within key state institutions and local authorities by the end of the project to allow sustainability of project achievements – (medium);
- Implement legislative changes in a timely manner that are required to develop an adequate enabling environment for the promotion and use of adaptation measures – (low).

Who: Project Management Team and UNDP

Recommendation 11: It is recommended to carefully monitor the project management expenditures, aiming to meet the target of the approved AF budget of 7.2% by the end of the project.

Issue to Address

As of the end of September 2017, the ratio project management costs over total expenditures is about 20%. That is high and it needs to decrease to a more acceptable level. It is recommended to carefully monitor this ratio and implement measures to bring this ratio down to a more acceptable level aiming at meeting the ratio of 7.2% of total expenditures by the end of the project as per the approved AF budget.

Who: Project Management Team, Project Board and UNDP

1.4. MTR Ratings and Achievement Summary Table

Below is the rating table as requested in the TORs. It includes the required performance criteria rated as per the rating scales presented in Annex 10 of this report. Supportive information is also provided throughout this report in the respective sections.

Table 2: MTR Ratings and Achievement Summary Table

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results		

Measure	MTR Rating	Achievement Description
Objective Achievement:	**MS**	The objective is expected to achieve most of its end-of-project targets but with significant shortcomings.
Outcome 1 Achievement:	**S**	The outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
Outcome 2 Achievement:	**MS**	The outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
Outcome 3 Achievement:	**MS**	The outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
Outcome 4 Achievement:	**S**	The outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
Project Implementation & Adaptive Management	**S**	Implementation of most of the seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
Sustainability	**ML**	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Evaluation

Important Note*: The ratings given above under "Progress Towards Results" are based on findings from this MTR measured against (too?) ambitious targets as identified in the project document (see discussion on these targets in Section 4.3.5).*

2. CONTEXT AND OVERVIEW OF THE PROJECT[5]

1. Uzbekistan is a lower middle income, resource rich, doubly-landlocked country, strategically located in the heart of Central Asia. It is bounded by Kazakhstan to the north and west, Turkmenistan and Afghanistan to the south, and Tajikistan and Kyrgyzstan to the east. Its total land area is 448,900 km2, of which 78% are plains, and 22% are mountains and mountainous valleys. The population is over 32.6M people[6], despite steady economic growth in the last decade, the impact of economic growth on improving livelihoods has been inadequate with a growing gap between urban areas and rural areas, where about half of the population is concentrated. 26.9% of labor-aged population is involved in the agriculture sector, and the share of this sector plus forestry and fisheries into the national GDP remains high though it declined during the recent decade (33.4% in 1990 to 18.1% in 2016 and 19.2% in 2017). As a result, the dependence on agriculture makes the country highly sensitive to climate variability and long-term climate change.

2. Most of the country is characterized by aridity – according to the UNEP aridity index. Uzbekistan's territory is classified as a drought zone, susceptible to land degradation and desertification. Since 1951, there has been an observed trend of warming within Uzbekistan. The considerable variation in current climate across the country suggests that regions and oblasts will find themselves subject to different impacts under future climate change, and thus adaptation responses will need to vary country-wide. These localized variations highlight the need for improved local data for improved forecasting and climate modeling.

3. Water resource management is a key development challenge in Uzbekistan. Demand continues to rise and climate variability and climate change impacts are likely to reduce the water supply. Freshwater sources in Uzbekistan consist of surface runoff of rivers, glaciers, groundwater, lakes and dams. However, almost 90% of the country's water resources originate from mountain catchments located in neighboring countries. Regional water-sharing is, therefore, a major constraining factor to sustainable water supply in Uzbekistan. Water use by the agriculture sector from surface water sources constitutes 93% of overall water use, and it is mostly coming from two major river systems: the Amu Darya and the Syr Darya, both of which flow into the Aral Sea. Some years, all the water available in these two rivers is used for irrigation, leaving no water to flow into the Aral Sea. In the meantime, water is used in an unsustainable way and wasted due to ageing irrigation infrastructure. As a result, water shortages are common in Uzbekistan, including in the Karakalpakstan region where villages are, some years, being left without water and need to be relocated or provisioned in water.

4. Irrigated land forms the basis of agriculture in Uzbekistan, which is a sector representing about 17.6% of the national GDP. Up to 80% of the food required by the population is currently produced in the country. A major cause of declining agricultural productivity is inappropriate irrigation and under-maintained drainage systems, which together increase salinization and water logging and undermine the fertility of arable land. This degradation of the resource base is estimated to cost approximately $1 billion annually in foregone economic output. Livestock production is a primary source of investment for many people in Uzbekistan, as livestock is a favored investment; however, productivity of this activity is decreasing and negatively impacted by climate change with reduction of pasture productivity including overgrazing of marginal land particularly concentrated in the vicinity of settlements and around wells. Agriculture is indeed identified as the most vulnerable sector to the anticipated impacts of climate change. The Third National Communication (TNC) of Uzbekistan states that climate change is likely to cause a shrinkage of agricultural land as a result of a rise in land salinization exacerbated by higher evaporation rates, intensified land degradation and desertification processes, severe water shortages, leading to the reduction in agricultural crop productivity and yields, as well as the reduction of cattle breeding through the decrease of pastures productivity, which may affect negatively national food security.

5. At the time of the formulation of this project and in addition to the negative impacts due to climate variability and change, the outdated policies, legislation and minimal government support in the form of extension advice on land management practices are also contributing to the degradation of the environment[7].

5 Information in this section has been summarized from the project document, which was formulated during the period 2010-2013.
6 https://www.uzdaily.com/articles-id-42339.htm
7 The Review Team noted that major transformational reforms of the agriculture sector are currently under way. The development of a strategy for reforming the agricultural sector is including in the State Program for 2018. Additionally, Uzbekistan obtained a loan from IBRD (January 2018 - $500M) to expand access to domestic and global markets as well as to improve the productivity of farmers and agribusinesses in the horticulture sector.

As agriculture was still largely state-controlled and governed by government policy or state decrees, the legacy of centralized policies in water management and agricultural practices, which were not suitable for local circumstances and resource availability, were also contributing factors to environmental degradation. It was compounded by obsolete agriculture practices that have remained similar to those used during the Soviet era. Farmers and pastoralists in the downstream, most arid regions such as Karakalpakstan have been particularly vulnerable, as they often receive no water from the upstream regions, especially during dry seasons. Karakalpakstan is the poorest and most vulnerable region to climate change in Uzbekistan. It occupies an area of about 166,600km^2; a third of the country's total area.

6. The analysis conducted for the formulation of this project identified four main barriers to be addressed in order to adapt to climate change. They are:

- ***Barrier 1:*** Paradoxically, a country for which agriculture is such an important sector does not have a systematic extension service provided to its over 100,000 agricultural and pastoral farms. Furthermore, the extension services which do exist tend to favor larger farmers. Finally, extension advice does not currently take a climate change adaptation perspective.
- ***Barrier 2:*** There is no comprehensive early warning system in place to guide water allocation and crop and pasture planning and management. Despite the strong capacity of Uzhydromet, the state department of Uzbekistan, high resolution, tailored forecast products are not readily available to potential users; sectorial ministries, various local authorities with land management responsibilities and farmers.
- ***Barrier 3:*** Despite numerous pilot initiatives that demonstrate good agriculture and natural resource management practices, there is no government policy or financial incentives for the large-scale adoption of measures with strong adaptation value.
- ***Barrier 4:*** There are no integrated land use planning and policies for landscape level rehabilitation and sustainable land management to allow for the functional integrity of the arid landscapes and hence greater resilience to climate change impacts.

7. This project has been developed to overcome these existing barriers. Its objective is "*to develop climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan*". It will be achieved through the delivery of four (4) expected outcomes and 14 outputs (see more detailed about the project strategy in Annex 2):

1. The institutional and technical capacity for drought management and early warning developed
2. Climate resilient farming practices established on subsistence dekhan farms
3. Landscape level adaptation measures for soil conservation and moisture retention improves climate resilience of over 1,000,000 ha of land
4. Knowledge of climate resilient agricultural and pastoral production systems in arid lands generated and widely available

8. This is a project supported by UNDP, the Adaptation Fund (AF), and the Government of Uzbekistan. It is funded by a grant from the AF of USD 4,990,878, and a cash contribution from UNDP of USD 200,000. The project started in June 2014 and its duration is 6 years. It is implemented under the "*National Implementation Modality (NIM)*". The implementing partner is the Centre of Hydro-meteorological Service under the Ministry of Emergency Situations since 2017 (formerly it was under the Cabinet of Ministers of the Republic of Uzbekistan). Other parties include Council of Ministers of the Republic Karakalpakstan, State Committee for Ecology and Environment (which was restructured and renamed in 2017 from the State Committee for Nature Protection), Ministry of Agriculture and Ministry of Water Resources (one ministry was separated to two ministries in 2018), Ministry of Economy, State Committee for Land, Geodesy, Cartography and State Cadaster. The project has been implementing pilots in selected districts within the Karakalpakstan region: Kegeyli, Kanlikul, Chimbay, and Takhtakupir districts.

3. EVALUATION FRAMEWORK

9. This mid-term review - a requirement of UNDP and AF procedures - has been initiated by UNDP Uzbekistan the Commissioning Unit and the AF Implementing Agency for this project. This review provides an in-depth assessment of project achievements and progress towards its objectives and outcomes.

3.1. Objectives

10. The objective of the MTR was to assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document and Project Inception Report, and assess early signs of project success or failure with the goal of identifying possible changes to be made in order to keep/set the project on-track to achieve its intended results. The MTR also reviewed the project's strategy and its risks to sustainability.

3.2. Scope

11. As indicated in the TORs for this MTR (*see Annex 3*), the scope of this review covered four categories of project progress, in accordance with the "*Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*". A summary of the scope of this MTR is presented below:

A. <u>Project Strategy:</u>

Project Design

- Review the problem addressed by the project and the underlying assumptions;
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results;
- Review how the project addresses country priorities.
- Review country ownership;
- Review decision-making processes;
- Review the extent to which relevant gender issues were raised in the project design;

Results Framework/Log-frame:

- Undertake a critical analysis of the project's log-frame indicators and targets;
- Review the project's objectives and outcomes or components and how feasible they can be reached within the project's time frame;
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects that should be included in the project results framework and monitored on an annual basis;
- Ensure broader development and gender aspects of the project are being monitored effectively.

B. <u>Progress Towards Results</u>

Progress Towards Outcomes Analysis:

- Review the log-frame indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix presented in the TORs and following the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*;
- Compare and analyse the AF Results Tracker within the PPR at the Baseline with the one completed right before the MTR;
- Identify remaining barriers to achieving the project objective in the remainder of the project;
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

C. <u>Project Implementation and Adaptive Management</u>

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document;
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement;
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:

- Review any delays in project start-up and implementation;
- Review how Results-Based Management is being implemented;
- Examine the use of the project's results framework/ log-frame as a management tool.

Finance and co-finance:

- Consider the financial management of the project, including cost-effectiveness;
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used;
- Examine the financial management of the project monitoring and evaluation budget.
- Review all the project pilots and evaluate the proposals made under each pilot projects.

Stakeholder Engagement:

- Review project partnerships with direct and tangential stakeholders;
- Review stakeholder participation and country-driven project implementation processes;
- Review public awareness.

Reporting:

- Assess the concepts and strategies of the pilot plots being implemented in five targeted districts;
- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess the project progress reporting function and how well it fulfils AF reporting requirements;
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- Review internal project communication with stakeholders;
- Review external project communication;

D. <u>Sustainability</u>

- Validate whether the risks identified in the Project Document, Annual Project Review/PPRs and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date;
- Assess risks to sustainability in term of financial risks, socio-economic risks, institutional framework and governance risks, and environmental risks.

3.3. Methodology

12. The methodology that was used to conduct this mid-term review complies with international criteria and professional norms and standards; including the norms and standards adopted by the UN Evaluation Group (UNEG).

3.3.1. Overall Approach

13. The review was conducted in accordance with the guidance, rules and procedures established by UNDP and AF and as reflected in the UNDP "*Guidance for Conducting Mid-Term Reviews of UNDP-supported, GEF-Financed Projects*[8]", and the UNEG Standards and Norms for Evaluation in the UN System. The review was undertaken in-line with principles which are: *independence, impartiality, transparency, disclosure, ethical, partnership, competencies/capacities, credibility* and *utility*. The process promoted accountability for the achievement of project objectives and promoted learning, feedback and knowledge sharing on results and lessons learned among the project's partners and beyond.

8 UNDP Evaluation Office, 2012, *Project-Level Evaluation – Guidance for Conducting Mid-Term Review of UNDP-Supported, GEF-Financed Projects.*

14. The Reviewing Team developed review tools in accordance with UNDP and AF policies and guidelines to ensure an effective project review. The review was conducted and findings are structured around five major evaluation criteria; which are also the five internationally accepted evaluation criteria set out by the Development Assistance Committee (DAC) of the Organization for Economic Co-operation and Development (OECD). There are:

- *Relevance* relates to an overall assessment of whether the project is in keeping with donors and partner policies, with national and local needs and priorities as well as with its design.
- *Effectiveness* is a measure of the extent to which formally agreed expected project results (outcomes) have been achieved, or can be expected to be achieved.
- *Efficiency* is a measure of the productivity of the project intervention process, i.e. to what degree the outcomes achieved derive from efficient use of financial, human and material resources. In principle, it means comparing outcomes and outputs against inputs.
- *Impacts* are the long-term results of the project and include both positive and negative consequences, whether these are foreseen and expected, or not.
- *Sustainability* is an indication of whether the outcomes (end of project results) and the positive impacts (long term results) are likely to continue after the project ends.

15. In addition to the UNDP and AF guidance for reviewing projects, the Reviewing Team applied to this mandate their knowledge of review methodologies and approaches and their expertise in sustainable land management and more generally in environmental management issues. They also applied several methodological principles such as (i) *Validity of information*: multiple measures and sources were sought out to ensure that the results are accurate and valid; (ii) *Integrity*: Any issue with respect to conflict of interest, lack of professional conduct or misrepresentation were immediately referred to the client if needed; and (iii) *Respect and anonymity*: All participants had the right to provide information in confidence.

16. The evaluation was conducted following a set of steps presented in the table below:

Table 3: Steps Used to Conduct the Review

I. Review Documents and Prepare Mission ▪ Start-up teleconference/finalize assignment work plan ▪ Collect and review project documents ▪ Draft and submit **Inception Report** ▪ Prepare mission: agenda and logistic	**III. Analyze Information** ▪ In-depth analysis and interpretation of data collected ▪ Follow-up interviews (where necessary) ▪ Draft and submit **draft evaluation report**
II. Mission / Collect Information ▪ Fact-findings mission to Uzbekistan ▪ Interview key Stakeholders and conduct field visits ▪ Further collect project related documents ▪ Mission debriefings / **Presentation of key findings**	**IV. Finalize Review Report** ▪ Circulate draft report to UNDP-AF and relevant stakeholders ▪ Integrate comments and submit **final Review Report**

17. Finally, the Reviewing Team signed and applied the "*Code of Conduct*" for Review Consultants (*see Annex 4*). The Reviewing Team conducted review activities, which were *independent*, *impartial* and *rigorous*. This MTR clearly contributed to learning and accountability and the Reviewing Team has personal and professional integrity and was guided by propriety in the conduct of their business.

3.3.2. Review Instruments

18. The review provides evidence-based information that is credible, reliable and useful. Findings were triangulated through the concept of "*multiple lines of evidence*" using several review tools and gathering information from different types of stakeholders and different levels of management. To conduct this review the following review instruments were used:

Review Matrix: A review matrix was developed based on the review scope presented in the TOR, the project log-frame and the review of key project documents (*see Annex 5*). This matrix is structured along the five evaluation criteria and includes all review questions; including the scope presented in the guidance. The matrix provided overall directions for the review and was used as a basis for interviewing people and reviewing project documents.

Documentation Review: The Reviewing Team conducted a documentation review in Canada and in Uzbekistan (*see Annex 6*). In addition to being a main source of information, documents were also used to prepare the fact-findings mission in Uzbekistan. A list of documents was identified during the start-up phase and further searches were done through the web and contacts. The list of documents was completed during the fact-findings mission.

Interview Guide: Based on the review matrix, an interview guide was developed (*see Annex 7*) to solicit information from stakeholders. As part of the participatory approach, the Reviewing Team ensured that all parties viewed this tool as balanced, unbiased, and structured.

Mission Agenda: An agenda for the fact-findings mission in Uzbekistan was developed during the preparatory phase (*see Annex 8*). The list of Stakeholders to be interviewed was reviewed, ensuring it represents all project Stakeholders. Then, interviews were planned in advance of the mission with the objective to have a well-organized and planned mission to ensure a broad scan of Stakeholders' views during the limited time allocated to the fact-findings mission.

Interviews: Stakeholders were interviewed (*see Annex 9*). The semi-structured interviews were conducted using the interview guide adapted for each interview. All interviews were conducted in person with some follow up using emails when needed. Confidentiality was guaranteed to the interviewees and the findings were incorporated in the final report.

Field Visits: As per the TORs, visits to project sites were conducted during the mission of the Reviewing Team in Uzbekistan; including project sites in the Karakalpakstan region. It ensured that the Reviewing Team had direct primary sources of information from the field and project end-users (beneficiaries). It gave opportunities to the Reviewing Team to observe project achievements and obtain views from stakeholders and beneficiaries at the local/rural levels.

Achievement Rating: The Reviewing Team rated project achievements according to the guidance provided in the TORs. It included a six-point rating scale to measure progress towards results and project implementation and adaptive management and a four-point rating scale for sustainability (*see Annex 10*).

3.4. Limitations and Constraints

19. The approach for this mid-term review is based on a planned level of effort of 25 days for each Consultant. It comprised an 8-day mission to Uzbekistan to interview key stakeholders, collect evaluative evidence; including visits of project sites in the Karakalpakstan region where the project support activities. Within the context of these resources, the independent Reviewing Team was able to conduct a detailed assessment of actual results against expected results and successfully ascertained whether the project will meet its main objective - as laid down in the project document - and whether the project initiatives are, or are likely to be, sustainable after completion of the project. The Reviewing Team also made recommendations for any necessary corrections and adjustments to the overall project work plan and timetable and also for reinforcing the long-term sustainability of project achievements.

4. EVALUATION FINDINGS

20. This section presents the findings of this MTR adhering to the basic structure proposed in the TOR and as reflected in the UNDP project review guidance.

4.1. Project Strategy

21. This section discusses the assessment of the project strategy – including its relevance - and its overall design in the context of Uzbekistan.

4.1.1. Project Design

22. As discussed in Section 2 above, agricultural productivity in Uzbekistan is declining due to inappropriate irrigation and under-maintained drainage systems, which together increase salinization and water logging and undermine the fertility of arable land. Irrigated land forms the basis of agriculture in Uzbekistan, which is a sector representing about 17.6% of the national GDP. This degradation of the resource base has been estimated to cost approximately $1 billion annually in foregone economic output. As per the Third National Communication (TNC) of Uzbekistan, agriculture is indeed identified as the most vulnerable sector to the anticipated impacts of climate change. At the outset of this project and in addition to the negative impacts due to climate variability and change, the outdated policies, legislation and minimal government support in the form of extension advice to farmers were also contributing to the degradation of the environment. The legacy of centralized policies in water management was also a contributing factor to environmental degradation, which was compounded by obsolete agriculture practices that have remained similar to those used during the Soviet era.

23. As a result, farmers and pastoralists in the downstream, most arid regions such as Karakalpakstan are particularly vulnerable, as they often receive no water from the upstream regions, especially during dry seasons. Karakalpakstan is the poorest and most vulnerable region to climate change in Uzbekistan. It occupies about 166,600 km2 area, about a third of the country's total land area.

24. In order to address the root-causes of the of the decrease in agricultural productivity and adapt to climate change, four main barriers were identified at the outset of this project:

- There is no systematic extension service available to over 100,000 agricultural and pastoral farms in Uzbekistan. Those services, which do exist tend to favor larger farmers and do not take a climate change adaptation perspective;
- There is no comprehensive early warning system in place to guide water allocation and crop and pasture planning and management. No tailored forecast products are readily available; particularly to farmers;
- There is no government policy nor financial incentives for large-scale adoption of adaptation measures, despite numerous pilot initiatives that demonstrated good agriculture and natural resource management practices,
- There are no integrated land use planning and policies for landscape level rehabilitation and sustainable land management to allow for the functional integrity of the arid landscapes and hence greater resilience to climate change impacts.

25. The project was designed with a strong lead from Uzhydromet in collaboration with UNDP Uzbekistan and the financial support from the Adaptation Fund (AF). The strategy was developed with the aim to overcome these existing barriers; focusing on the Karakalpakstan region by "*developing climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan*" (Project objective). The mid-term review confirms that the project is a response to these barriers through a 'four-pronged' approach: (a) by developing the institutional and technical capacity for drought risk management and early warning systems; (b) by establishing climate resilient farming practices on subsistence dekhan farms in the Karakalpakstan region; (c) by improving the climate resilience of 1,042,094 ha of land through landscape level adaptation measures for soil conservation and moisture retention; and (d) by generating and distributing widely knowledge of climate resilient agricultural and pastoral production systems in arid lands.

26. This project is fully relevant for Uzbekistan. The design was to support the government to improve its hydro-meteorological monitoring infrastructure, which will serve as the backbone for a drought early warning system as well as providing better weather data to develop weather forecasts and models to assess climate change impacts. The project was also to support the development of a suite of adaptive multi-benefit agronomic practices for crops and livestock; ranging from conservation agriculture through horticultural greenhouses and pasture management. Under its third component, the project was to support the development of a participatory scenario-based land use plan; seeking to reduce the impacts of higher temperatures and lower rainfall on crop productivity through large scale plantations of trees. Finally, key lessons from the project were to be monitored, documented and disseminated to maximize the impact of the project and the sustainability of its achievements.

27. At the time of the design, the project reflected the priorities stated by the governments of Uzbekistan and Karakalpakstan. It also integrated the results of the review of what had and had not worked in Uzbekistan and the region as well as being cognizant of social and market tends and the general evidence of an effective aridification through climate change effects. Its aim is to put Karakalpakstan - the most vulnerable region of Uzbekistan - on a more solid footing in terms of identifying the local effects of climate change and taking these into account in land management decisions at various levels and in implementing new agricultural practices for both crops and livestock, and more efficient water management practices as measures to adapt to climate change, improving the resilience and livelihood of local communities. It was anticipated that by increasing the capacity to model climate change impacts and take them into account in land use planning, as well as by improving a better understanding of these impacts at the farmers' level through an improved extension service, it will increase the adaptive capacity of the region to identify and implement climate change adaptation solutions in the future and, by extension, inspire similar activities elsewhere in the country.

28. In the meantime, since the start-up of this project and particularly since the arrival of the new President of Uzbekistan, major reforms are underway in the agriculture sector. The assessment conducted by the Reviewing Team for this mid-term review revealed that, within this new context of reforms of the agriculture sector, the project is even more relevant today than at the outset of the project; it is well aligned to several recently adopted Decrees and programmes; it includes:

Cabinet of Ministers Decree No. N311 adopted on November 3, 2015: Measures to further improve the provision of agricultural and water sectors with highly qualified personnel with higher education

29. This Decree provides legal provision for the creation of the center of educational and industrial practice under the structure of the Agrarian University. It also approved proposal from the Ministry of Agriculture and Council of Farmers to create regional centers (in the form of state unitary enterprises) placed within higher educational institutions for agriculture and water management for advance training of specialists and farmers.

Cabinet of Ministers Decree №118 adopted on April 21, 2016: Measures for the effective organization of a system of retraining and advanced training for managers and specialists of farm enterprises

30. The aim of this Decree is - within the context of the reforms of the agricultural sector - to increase the professional knowledge of farm managers and specialists for the development of farming, and effectively implementing best farming practices and modern methods of management and marketing in agriculture. The Ministry of Finance annually, beginning in 2016, should allocate necessary funds from the Extra Budgetary Fund for Reconstruction to strengthen the material and technical base of regional centers and professional colleges providing retraining and advanced training of farmers and specialists. This allocation should be based on justified calculations from the former Ministry of Agriculture and Water (now separated into two ministries) as well as the Ministry of Higher and Secondary Special Education. These training courses are to be held in regional centers placed within higher educational institutions for agriculture and water management and with the involvement of the faculty of these institutions. The programme of these training sessions is to be approved by the Ministry of Agriculture and the Ministry of Water Resources and the higher educational institutions for agriculture and water management. These regional centers are to conduct these training sessions on a paid basis for participants.

State Programme for the Development of the Aral Sea Region 2017-2021 adopted by Presidential Decree No.* ПП-2731 *on January 18, 2017

31. This state programme was approved by the government through the Cabinet of Ministers Decree No.15 adopted on January 17, 2017 on additional measures for improvement of socio-economic condition of people living in Karakalpakstan. The programme aims at providing socio-economic development aid for the Aral Sea

basin seeking to improve the living conditions and quality of life of the region's population. The programme includes measures such as create new jobs, increase the investment attractiveness of the region, develop the water supply system, sewerage, sanitation and waste disposal, improve living conditions of the population and develop the transport, engineering and communication infrastructure of settlements. The action plan to implement this programme is composed of 67 projects worth 8.422 trillion soms ($2.58 billion). To ensure a reliable and stable financing of the implementation of these measures, a fund for the development of the Aral Sea basin is to be created under the Ministry of Finance.

Presidential Decree №UP-4947 adopted on February 7, 2017: Strategy of Actions for the Further Development of the Republic of Uzbekistan.

32. The year 2017 in the Republic of Uzbekistan was declared as the "*Year of Dialogue with the People and Human Interest*". This Decree approved the Uzbekistan's Strategy for Further Development 2017-2021. It also legislated the formation of a National Commission to oversee the implementation of this Strategy and declared this Strategy as the main priority for all government bodies and officials.

Uzbekistan's Strategy for Further Development 2017-2021

33. The purpose of the Strategy for the period 2017-2021 is to raise the efficiency of reforms, create the conditions to ensure a comprehensive and accelerated national development, and set the priority paths for the country's modernization and liberalization. The Strategy includes five priority areas:

- *Improving the system of state and social construction*: strengthening democratic reforms and modernization of the country;
- *Ensuring the rule of law and reforming the judicial system*: strengthening the independence of the judiciary and protection of civil rights and freedoms;
- *Development and liberalization of the economy*: raising competitiveness and openness;
- *Development of the social sphere*: gradual increase of wages, pensions and benefits, creation of jobs, etc.;
- *Ensuring security, inter-ethnic harmony and religious tolerance, implementation of balanced, mutually beneficial and constructive foreign policy*: strengthening the independence and sovereignty of the state, creating a security belt around Uzbekistan, stability and good neighborly relations.

Presidential Decree No. N2966 adopted on May 11, 2017: Organization of activities of the State Committee of the Republic of Uzbekistan on Forestry

34. This Decree reorganizes the Forestry Department of the Ministry of Agriculture into a separate State Committee on Forestry. It also stipulated its functions, including expansion of forests, production of seedlings, provision of areas for grazing and production of agricultural products; production of beekeeping products, fisheries, livestock and industry, as well as provision of paid services to the population in the context of state forestry. It obligates Agrobank to provide soft loans; update the educational curriculum to respond to the emerging needs of the forestry sector. Finally, it obligates the new committee to collect proposals on financing sources and projects on plantations to protect land against wind and water erosion.

Presidential Decree No. UP-5199 adopted on October 9, 2017: Measures to improve the system for protecting the rights and legitimate interests of farmers, dekhan farms and household landowners, efficient use of agricultural acreage.

35. This Decree improves the legislation for protecting the rights and legitimate interests of farmers, dekhan farms and household landowners. It defines the tasks of the state, local authorities and self-governing bodies of citizens to ensure the effective use of crop areas and to strengthen their responsibility. It creates favorable conditions for multi-sectoral farms and strengthens measures for state support. It ensures financial sustainability of farmers through the introduction of market mechanisms in supply chains. Through the provision of information on modern technologies, the decree seeks to increase the knowledge and experience of landowners. In accordance with the decision of the Conference of the Council of Farmers, the Decree legislate the change of this Council into the Council of Farmers, Dehkan Farms and Owners of Homestead Lands of Uzbekistan. It also legislated the need to review land use by community self-governing bodies: quarterly for land plots exploited by farmers and monthly for land plots exploited by dekhan farms and household landowners. The decree also identified strict measures to be applied in case of non-compliance, including rights to terminate inefficient exploitation of land, including when agricultural measures are not fully implemented.

Presidential Decree No. PP-3318 adopted on October 10, 2017: Organizational measures to further develop the activities of farmers, dekhan farms and landowners

36. This decree states that the Council of Farmers must provide a comprehensive support to farmers, dekhan farms and household landowners in the production, processing, storage and sale of agricultural products, including the implementation of modern agro-technical activities, as well as drafting contracts, exporting products to foreign markets and overall training of farmers. It also includes the organization and expansion of various forms of cooperation between farmers, dekhan farms and household landowners and with other organizations, which provide consulting services on legal, economic, financial, agricultural and other issues in agriculture, as well as in the production, purchase, processing, sale, supply and service, and introduction of advanced foreign experience in agriculture.

37. The project is well aligned with these policy and legal instruments, including the state programme for the development of the Aral Sea region (2017-2021). It provides resources to address the barriers identified at the outset of the project, which should contribute to the development of the resilience to climate change of farming and pastoral communities in the Karakalpakstan region. As per one stakeholder interviewed during this mid-term review, the project is to provide a link between the research on agriculture practices and the application of these measures by farmers.

UNDP Strategy in Uzbekistan

38. The current United Nations Development Assistance Framework (UNDAF) is the strategic programme framework between the Government of Uzbekistan and the United Nations System for the period 2016-2020. It was developed through an intensive consultation process with the Government and other implementing national partners. It draws on the full range of knowledge and resources of the United Nations system to deliver development results. It supports national priorities and is in line with the Sustainable Development Goals (SDGs) for the post-2015 period, tailored to the local context. The UNDAF focuses particularly on benefitting the most vulnerable populations in Uzbekistan. This strategic programme is composed of four strategic focus areas that respond to national needs and make use of the United Nations' comparative advantages; they include:

- Inclusive economic development, with a focus on employment and social protection
- Quality health and education, to fully realize human potential
- Environmental protection, to ensure sustainable development
- Effective governance, to enhance public service delivery and the protection of rights.

39. The thematic area 3: *Environmental protection to ensure sustainable development*, has been aligned with the government priority to improve land productivity and the use of water resources. This priority is being addressed within the context of poor water infrastructure, combined with continuing degradation and salinization of arable land, which remain priority challenges. The expected UNDAF outcome under this area is that "*by 2020, rural population benefit from sustainable management of natural resources and resilience to disasters and climate change*". For the period 2016-2020, the UNDAF focuses on:

- Integrating the principles of sustainable development into national legislation and policymaking and elaborating evidence-based policies to promote sustainable development
- Improving the efficiency of use of land and water resources for sustainable agricultural development and food security
- Climate change mitigation and adaptation, climate risk management and disaster risk reduction
- Improving energy efficiency and promoting access to energy
- Biodiversity conservation.

40. Following the development and adoption by the government of Uzbekistan of the Development Action Strategy 2017-2021 and the development of the UNDAF 2016-2020 aligned with the five priority areas of this strategy, a *roadmap*[9] was developed by the UN Country Team (UNCT). This roadmap was a response to the reforms initiated under the Action Strategy and to the urgent needs and modern challenges facing the country and the region in general at this stage of development. In order to adapt to the fast-pace of reforms, it was necessary to identify the most urgent and priority areas of cooperation between Uzbekistan and the United

9 UN, Government of Uzbekistan, *Action-oriented Roadmap on Further Cooperation between Uzbekistan and the United Nations System for 2017-2020*

Nations. One priority area identified was climate change and water management, which are also priority issues for the SDGs and are highly relevant for Uzbekistan. It includes measures to mitigate the drying up of the Aral Sea and prevent the collapse of the ecosystems in the Aral Sea region, including the Uzbek's initiative to create a trust fund for the Aral Sea region under the auspices of the United Nations.

41. The AF project is part of this strategic programme UNDAF and the *Roadmap* supporting the government of Uzbekistan in adapting to climate change, seeking to improve the efficiency of use of land and water resources in the agriculture sector and to improve the hydro-meteorological monitoring infrastructure, which – through a drought early warning system – will provide better weather data. The Reviewing Team also noted that this project is not an isolated project. It is part of an overall multi-year strategy of UNDP to support the government of Uzbekistan by strengthening environmental governance, building institutional and individual capacities to mitigate anticipated climate change impacts, mainstreaming biodiversity conservation principles into sectorial policies and programmes, and promoting renewable energy and sustainable use of land and water resources. This project is a continuation of a SLM project implemented in Uzbekistan from 2008 to 2013: "*Achieving Ecosystem Stability on degraded land in Karakalpakstan and the Kyzylkum Desert*". It is also implemented in parallel to few other projects such as *Reducing Pressures on Natural Resources from Competing Land Use in Non-Irrigated Arid Mountain, Semi-Desert and Desert Landscapes of Uzbekistan,* and the *Sustainable Management of Water Resources in rural areas in Uzbekistan*. Together these projects are part of the UNDP programme to support the government in improving the sustainable land management of agricultural systems in arid zones of Uzbekistan.

AF Portfolio Objective

42. The project was developed (and is funded) in line with the Adaptation Fund Results Framework, including its expected impact that is "*Increased resiliency at the community, national, and regional levels to climate variability and change*". The Reviewing Team found that it is well aligned with most of its expected outcomes; particularly with the following outcomes:

- *Outcome 1 - Reduced exposure to climate-related hazards and threats*: Under outcome 1, the project supports the development of the institutional and technical capacity for drought risk management and early warning systems, which by providing better weather data will help reducing exposure of local communities to climate-related hazards and threats.
- *Outcome 2 - Strengthened institutional capacity to reduce risks associated with climate-induced socioeconomic and environmental losses*: Similar to the alignment with outcome 1 above, the project contributes to the development of Uzhydromet capacity, which, based on better weather data, will provide weather forecasts and models to assess climate change impacts; hence contributing to the reduction of climate change-related risks. The project will also contribute to develop the capacities of other stakeholders, including line ministries: Ministry of Agriculture, Forestry Committee, and Regional Ministries in Karakalpakstan.
- *Outcome 3 - Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level*: Under outcome 2, the project has been establishing climate resilient farming practices on subsistence dekhan farms of Karakalpakstan. It is piloting a series of adaptation measures for the agriculture sector and seeking to replicate these measures throughout the Karakalpakstan region.
- *Outcome 4 - Increased adaptive capacity within relevant development sector services and infrastructure assets*: Under outcome 2 and 3, the project has been piloting adaptation measures to conserve agriculture land against climate change impacts such as laser-leveling technology, which has a positive impact on land salinization, agriculture techniques to limit soil erosion in winter and soon to be piloted techniques for sustainable forestry in the Aral Sea bed.
- *Outcome 5 - Increased ecosystem resilience in response to climate change and variability-induced stress*: All activities conducted under outcome 2 and 3 of the project will increase the resilience of agriculture, forestry and pasture land in the Karakalpakstan region; including an expected increase of agricultural land productivity.
- *Outcome 6 - Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas*: As a result of project activities, it is anticipated that the livelihoods of communities in the Karakalpakstan region will increased over time; mostly through the implementation of adaptation measures, which should sustainably increase farming and pasture land productivity, but also through greenhouse horticulture to diversity crop production and provide additional incomes to communities.

43. As per the overall objective of the Adaptation Fund that is to "*reduce vulnerability and increase adaptive capacity to respond to the impacts of climate change, including variability at local and national levels*", this project is much aligned with the AF results framework. As per its goal, the funding from the AF is assisting Uzbekistan that is particularly vulnerable to the adverse effects of climate change to strengthen its capacity in adapting to climate change through the implementation of climate-resilient measures.

Gender Considerations

44. The assessment of the project document reveals that gender considerations were not really included in the design of this project; no specific sections discuss gender aspects of the project. The only places where gender matters are briefly considered are in the management arrangements where it is said that gender mainstreaming issues will be considered by Uzhydromet as the national partner implementing agency, and that the project board will be balanced in term of gender representation. It is also mentioned in the terms of reference proposed for key project staff where, for instance, one function of the Project Manager (PM) is to ensure that the project contributes to the promotion of gender equality by reaching, involving and benefiting both women and men in its activities (gender mainstreaming). The PM has also to mainstream gender issues in project activities.

45. Nevertheless, following the AF guidance to monitor and report progress, the project team has been reporting gender-disaggregated progress data. In addition to this report and referring to the most recent Project Performance Report (PPR), the project team also reported on gender matters such as, for instance, that *100 female candidates (20% of 500 beneficiaries) were identified based on their social and gender profile to be recipients of greenhouse equipment*. The project is collecting gender-disaggregated data and consider the mainstreaming of gender in all project activities; however, the lack of a clear gender equality strategy has limited so far, the project role in mainstreaming gender as a driver of development progress.

46. In conclusion, the AF project is well aligned with national priorities, particularly the priorities identified early this past year as well as with the reforms of the agriculture sector currently underway. It is also well aligned with the AF results framework. The project is part of the UN partnership with the government of Uzbekistan, which, under the UNDAF, supports the national priorities identified by the government of Uzbekistan with a focus on the most vulnerable populations in Uzbekistan and including the protection of the environment and the sustainable development of the country. The Reviewing Team found that the project was designed through a good participative process; though it lacks a gender perspective, which should have been integrated in the project design.

4.1.2. Results Framework / Log-frame

47. The *Project Results Framework (PRF)* identified during the design phase of this project is somewhat complex to understand, particularly when focusing on the indicators, baselines and targets. No major changes were made to the *Project Results Framework* during the inception phase; only 2 target dates were changed to reflect the delay that occurred at the startup of the project. The review of the objective and outcomes indicates a satisfactory link Outcomes ➔ Objective. The project has a set of four expected outcomes and together they will achieve the objective that is to develop the climate resilience of farming and pastoral communities in the Karakalpakstan region. The project seeks to develop the institutional and technical capacity for drought risk management and early warning systems; to establish climate resilient farming practices on subsistence dekhan farms in the Karakalpakstan region; to improve the climate resilience of 1,042,094 ha of land through landscape level adaptation measures for soil conservation and moisture retention; and to generate and distribute widely knowledge of climate resilient agricultural and pastoral production systems in arid lands.

48. The logic model of the project presented in the *Project Results Framework* is summarized in table 3 below. It includes one objective, four outcomes and 14 outputs and their respective targets to be achieved at the end of the project.

Table 4: Project Logic Model

Expected Results	Targets at End of Project
Project Objective: To develop climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan.	• *No target to measure progress against the objective*
Outcome 1 - Institutional and technical capacity and mechanisms for drought risk management and early warning developed. • ***Output 1.1:*** Upgraded observation and monitoring infrastructure (e.g. 2 Doppler water meters, automatization of 8 met stations) for effective data receiving and transmission. • ***Output 1.2:*** Multi-modal platform for integration of data flow from hydro-meteorological observation to end users. • ***Output 1.3:*** Drought early warning mechanisms (indicators, gauges, warning distribution mechanisms etc.) to minimize impacts of droughts in place and functional. • ***Output 1.4:*** Science-based extension services for subsistence dekhan farmers established to assist in farm-based climate risk management, including sub-district, community level Climate Field School/Extension (CFS /E) for direct outreach to farmers and localized training in adaptation practices.	• Instalment of 2 Doppler water meters and 8 automated meteorological stations; • At least 40,000 km2 of the Karakalpakstan region will be covered by automated hydro-meteorological observation network; • Season ahead forecasts and 2 weeks ahead temperature forecasts for effective warnings will be practiced; • At least 40% of Dekhan farmers and pastoralists of Karakalpak region will be served by science-based extension; • At least 3 Field School/Extension established to deliver training in adaptation practices to farmers and pastoralists; • At least 20% of targeted Dekhan beneficiaries will be female.
Outcome 2 – Climate resilient farming practices established on subsistence dekhan farms of Karakalpakstan • ***Output 2.1:*** 40,000 Dekhan farmers have adopted climate resilient conservation agriculture practices (e.g. low till, mixed cropping, fodder production, and residue crop soil covering adopted measures adopted at 80,000 ha of dekhan farms) • ***Output 2.2:*** 40,000 Dekhan farmers have adopted water saving irrigation practices (e.g. land leveling, well management, furrow and drip irrigation systems adopted at 80,000 ha dekhan farms to improve farm-level drainage and minimize salinization) • ***Output 2.3:*** 40% of targeted dekhan farmers have established horticulture greenhouses on 20,000 ha of farms to minimize impacts of droughts on farm production • ***Output 2.4:*** Legal and regulatory framework put in place to support well tested farm-based adaptation measures for replication and upscale	• At least 40,000 Dekhan farmers have adopted climate resilient conservation agriculture practices (e.g. low till, mixed cropping, fodder production, and residue crop soil covering adopted measures adopted at 80,000 ha of dekhan farms) by end of the project; • At least 40,000 Dekhan farmers have adopted water saving irrigation practices (e.g. land levelling, furrow, drip irrigation systems adopted at 80,000 ha dekhan farms to improve farm-level drainage and minimize salinization) by end of the project; • Female lead horticulture greenhouses will be established by mid of 2016; • Laws on agricultural practices and water management will be amended by to integrate regulations on the adoption of conservation agriculture and water saving techniques and technologies on the farms by end of 2016.
Outcome 3 – Landscape level adaptation measures for soil conservation and moisture retention improves climate resilience of 1,042,094 ha of land • ***Output 3.1:*** Local saksaul and tamarix plantations deliver sand stabilization and soil desalinization function for 1,042,094 ha of farm and adjacent farmlands, based on wind models and comprehensive landscape rehabilitation and management plan • ***Output 3.2:*** Community management scheme for planting and maintenance established as community employment scheme for landscape level adaptation • ***Output 3.3:*** Cooperative management for landscape rehabilitation and management established to enhance community control and ownership arrangements	• By end of the project over 70,000 ha of arid land of Karakalpakstan is covered with saksaul and tamarix plantations to deliver sand stabilization and soil desalinization function; • At least 20,000 people organized in at least 10 cooperatives at the khokimiyat and makhalla levels to participate in sand stabilization plantation scheme; • At least 10 community organizations (at least 5 female groups and village organizations) at khokimiyat and makhalla level have clear mandates, institutional capacities and skills to manage saksaul and tamarix plantations by end of 2019.
Outcome 4 – Knowledge of climate resilient agricultural and pastoral production systems in arid lands generated and widely available • ***Output 4.1:*** Inventory of all tested agronomic and water saving measures to map out successful practices	• At least two sets of lessons learned bulletins produced to cover successful climate resilient agronomic and water saving measures; • At least 5 farmland demonstration meetings covered by the local and national media for adaptation advocacy.

Expected Results	Targets at End of Project
• ***Output 4.2:*** Analysis and lessons learned for climate resilient agricultural and pastoral production systems in arid lands documented and disseminated through printed and web-based publications • ***Output 4.3:*** Quarterly farm and pasture land demonstration meetings with participation of national, local authorities, media and communities delivered	

49. However, below the set of clear and logical outcomes (4) and the objective, this PRF is a case of "*the devil is in the details*". When reviewing the entire logical "chain of results" Activities ➔ Outputs ➔ Outcomes ➔ Objective, the PRF quickly becomes complex, particularly when reviewing outputs, indicators and targets set for measuring the progress of the project. The outputs were in most cases identified as deliverables with, in some cases, targets embedded in the output statements such as *Output 2.1 - 40,000 Dekhan farmers have adopted climate resilient conservation agriculture practices (e.g. low till, mixed cropping, fodder production, and residue crop soil covering adopted measures adopted at 80,000 ha of dekhan farms)*. The differentiation of outputs, indicators and targets is somewhat confusing and sometimes redundant. For instance, the output 1.1 statement is: *Upgraded observation and monitoring infrastructure (e.g. 2 Doppler water meters, automatization of 8 met stations) for effective data reception and transmission*; the indicator 1.1.1 is: *Number of automated met stations for field data collection and transmission*; and the target is: *Instalment of 2 Doppler water meters and 8 automated meteorological stations*. In this case, there is no need of an indicator and target since it is already included in the output statement.

50. The presentation of the strategy of the project in the project document through the PRF followed by the project results and resource framework is also rendering the understanding of this strategy more complex. In the PRF, baseline targets and milestones are presented against the outcomes and indicators; but another column listing outputs and indicators is also presented in the same PRF. The review indicates that it is not clear which target goes with which indicator and with which results. It renders the overall management of the project more complex; particularly the monitoring of the progress but also the work planning. There is not a clear way to implement a set of activities to reach the outputs, then outcomes, etc.

51. In addition to this complexity, the assessment conducted for this MTR reveals that the overall project logic of using project inputs to implement planned activities to reach a set of expected outputs (14), which would contribute in achieving the set of expected outcomes (4), which together should contribute to achieve the overall objective of the project is very ambitious but most importantly not fully logical. It is not clear how the project will reach some of these outputs when considering the overall design of the project including the planned activities. For instance, using the same example of output 2.1, it is not clear how the project will achieve the target of 40,000 Dekhan farms that will have adopted climate resilient conservation agriculture practices on an area of 80,000ha by the end of the project; the action planned to reach this target is only saying to "*ensure that 40,000 dekhan farms have adopted ……*" The same can be stated for reaching the outputs under outcome 3 such as 70,000ha of arid land should be covered with saksaul and tamarix by the end of the project; and to establish 10 local cooperatives with 20,000 members; the indicative activities are not convincing when it comes to assess how these targets will be achieved.

52. Finally, the PRF is much focus on the delivery of adaptation measures. There is a sense that to achieve the objective of the project, it is a matter of delivering 2 doppler water meters, 8 automated meteorological stations, adaptation measures adopted by 40,000 dekhan farms, greenhouses on 20,000ha, 70,000ha covered with saksaul and tamarix, and 10 cooperatives with 20,000 members. If it was feasible, it would be a valid M&E framework to monitor the effectiveness of the project. However, in the meantime, the only way for the project to achieve these very ambitious targets is through the development of capacities of stakeholders at all levels (national, regional, district and local) and also at the individual, institutional and system levels. A link between the government and the agriculture research centers and the farmers is needed. A type of extension services is needed and the government has been moving in this direction. However, this service needs to be established, skills and knowledge need to be developed, procedures and mechanisms need to be identified and an enabling environment (policies and legislation) is needed for this link to exist and to be developed. As it stands currently, the project document does not provide much guidance on how capacities will be developed by the project. It is also reflected in the set of indicators where few indicators are capacity-based indicators

(*see additional discussion in section 4.2.1 and 4.3.5*).

53. In conclusion, the review of the project design and the project strategy (PRF) indicates that this strategy is a clear response to national priorities. Addressing climate change impact while developing the agricultural sector in the Karakalpakstan region is clearly a government priority; the AF project is well positioned to support the government in the development of this region, including the adaptation to climate change and bettering the livelihoods of vulnerable communities in the region. Early in 2017, the government developed and adopted a state programme for the development of the Aral Sea region for the period 2017-2021 as well as a set of Decrees to reform the agricultural sector; it provides a good enabling environment for the project to move forward. However, a poor project document does not provide a useful "*blue print*" for the project team to guide the implementation of the project. At the mid-point in the implementation of the project it is difficult for the project team to plan ahead when considering that most targets will not be achieved.

4.2. Progress Towards Results

54. This section discusses the assessment of project results; how effective the project is to deliver its expected results and what are the remaining barriers limiting the effectiveness of the project.

4.2.1. Progress Towards Outcomes Analysis

55. As presented in Sections 4.1, the project has been implemented through four (4) outcomes. The implementation progress is measured though a set of 15 indicators and 15 related targets. On the next page is a table listing key deliverables achieved so far by the project against each outcome and their corresponding targets. Additionally, a color "*traffic light system*" code was used to represent the level of progress achieved so far by the project, as well as a justification for the given rating (color code)[10].

Target achieved
On target to be achieved
Not on target to be achieved

10 The analysis and ratings presented in this Section have been conducted with the assumption that the project will terminate in May 2020 as per its current official ending date.

Table 5: List of Delivered Results

Expected Results	Project Targets	Results (Deliverables)	MTE Assess.	Justification for rating
Project Objective: To develop climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan.				• *No indicators were identified to measure the performance of the project at the objective level.*
Outcome 1 - Institutional and technical capacity and mechanisms for drought risk management and early warning developed. • ***Output 1.1:*** Upgraded observation and monitoring infrastructure (e.g. 2 Doppler water meters, automatization of 8 met stations) for effective data receiving and transmission. • ***Output 1.2:*** Multi-modal platform for integration of data flow from hydro-meteorological observation to end users. • ***Output 1.3:*** Drought early warning mechanisms (indicators, gauges, warning distribution mechanisms etc.) to minimize impacts of droughts in place and functional. • ***Output 1.4:*** Science-based extension services for subsistence dekhan farmers established to assist in	• Instalment of 2 Doppler water meters and 8 automated meteorological stations • At least 40,000 km2 of the Karakalpakstan region will be covered by automated hydro-meteorological observation network • Season ahead forecasts and 2 weeks ahead temperature forecasts for effective warnings will be practiced	• A network of 10 meteorological stations in Karakalpakstan have been automated and functional (2 more than planned). They are now operational and are being tested; • Two Doppler water discharge meters procured and installed in two key water gauge stations (Tuyamuyun and Kipchak); • This equipment covers the entire hydro-meteorological observation network of the Republic of Karakalpakstan, and therefore will cover much of the region area of 164,900 km^2; • 40 local specialists (35% of women) trained on installation, maintenance and operation of the meteorological equipment, and 10 (20% of women) local specialists trained on use the water measuring equipment; • Existing mechanisms of Drought Early Warning System (DEWS) located in Uzhydromet and at Drought Monitoring Center were upgraded and adapted to Amu Darya downstream condition. The DEWS provides both quantitative and qualitative water availability assessment for Amu Darya specific cross-sections with warning lead time of 3 months. Validity of the assessments varies from 70 to 100%;		• The entire outcome 1 is on its way to be achieved. The equipment has already been procured and some initial training conducted. • The improved meteorological network is now in place, producing better information for Uzhydromet. The next step for Uzhydromet is to use this information and develop weather forecasts and models to assess climate change impacts, as well as providing public access to this useful information, particularly for farmers.
	• At least 40% of Dekhan farmers and pastoralists of Karakalpak region will be served by science-based extension; • At least 3 Field School/Extension established to deliver training in adaptation	• Concept of establishing science-based extension services for subsistence dekhan farmers developed; • 2 Extension Service Centers established (Hub in Nukus, and in Kegeyli pilot district) and conducted field trainings on best adaptation practices such as training on land laser leveling technique attended by 217 (24% of women) farmers from project pilot districts;		

Expected Results	Project Targets	Results (Deliverables)	MTE Assess.	Justification for rating
farm-based climate risk management, including sub-district, community level Climate Field School/Extension (CFS /E) for direct outreach to farmers and localized training in adaptation practices.	practices to farmers and pastoralists; • At least 20% of targeted Dekhan beneficiaries will be female.	• At least 15% of the project beneficiaries (farmers, dekhan farms, households and rural communities) can receive the required consultancy services from 2 Extension Service Centers established; • 93 potential employees of Extension Service Centers to be further established in 3 pilot districts trained; • As of today, 5,963 (20 % of women) representatives of local communities from five project's pilots (in Kegeyli, Kanlikul, Chimbay, Takhtakupir and Muynak districts) received information on available climate change adaptation services and innovative agro conservation and water saving practices through those 2 Extension Service facilities; • 15,000 stakeholders in Karakalpakstan and overall in Uzbekistan, and 1,500 direct end-users (20%) in 5 pilot districts were informed about the automated hydro-meteorological observation network through demo-workshops, quarterly bulletins, web-resources and wide mass media coverage (TV and radio broadcasting, and press);		
Outcome 2 – Climate resilient farming practices established on subsistence dekhan farms of Karakalpakstan • ***Output 2.1:*** 40,000 Dekhan farmers have adopted climate resilient conservation agriculture practices (e.g. low till, mixed cropping, fodder production, and residue crop soil covering adopted measures adopted at 80,000 ha of dekhan farms)	• At least 40,000 Dekhan farmers have adopted climate resilient conservation agriculture practices (e.g. low till, mixed cropping, fodder production, and residue crop soil covering adopted measures adopted at 80,000 ha of dekhan farms) by end of the project; • At least 40,000 Dekhan farmers have adopted water saving irrigation practices (e.g. land levelling, furrow, drip irrigation systems adopted at 80,000 ha dekhan farms to improve farm-level drainage and minimize salinization) by end of the project;	• 7 sets of equipment for laser land levelling were procured, and laser levelling technique was introduced in the pilot districts of the project (Muynak, Kanlikul, Takhtakupir, Kegeyli and Chimbay); • Land levelling on more than 460 ha in the farms of pilot districts of the project was implemented; • Agro-conservation and water-saving technologies are implemented over 22 ha in the Kegeyli and Chimbay districts; • 217 (24% of women) farmers in 4 project's pilots (Kegeyli, Kanlikul, Chimbay and Takhtakupir) trained through 4 field trainings on adaptation practice including water saving irrigation practices;		• climate resilient conservation agriculture practices and water saving irrigation practices are being developed and piloted by the project. These practices will also be documented and be incorporated in the extension services that is being established with the support of the project. • However, the problem to reach these targets is not an implementation issue but a target that is much too ambitious. Reaching out to 40,000 dekhan farms and ensure that they adopt these practices is not feasible (*see also section 4.1.1 and 4.1.2*) within the

Expected Results	Project Targets	Results (Deliverables)	MTE Assess.	Justification for rating
• ***Output 2.2:*** 40,000 Dekhan farmers have adopted water saving irrigation practices (e.g. land leveling, well management, furrow and drip irrigation systems adopted at 80,000 ha dekhan farms to improve farm-level drainage and minimize salinization) • ***Output 2.3:*** 40% of targeted dekhan farmers have established horticulture greenhouses on 20,000 ha of farms to minimize impacts of droughts on farm production • ***Output 2.4:*** Legal and regulatory framework put in place to support well tested farm-based adaptation measures for replication and upscale				timeframe and the resources of the project. These targets won't be achieved and more realistic targets are needed.
	• Female lead horticulture greenhouses will be established by mid of 2016.	• Documentation to procure 500 units of horticulture greenhouse equipment developed based on the identified types and designs of greenhouses applicable to climate conditions of northern areas of Karakalpakstan. 500 potential owners (20% of female) identified based on their social and gender profile. 400 beneficiaries were provided with guidance to develop greenhouses and hothouses businesses in Karakalpakstan and advice on growing indoor vegetables adapted for the northern districts of Karakalpakstan. Documentation published in Karakalpak, Uzbek and Russian;		• Similar to the targets above, establishing horticulture greenhouses on 20,000ha (output 2.3) is much too ambitious within the timeframe and the resources of the project. These targets won't be achieved and more realistic targets are needed. • In the meantime, the Reviewing Team noted the good progress to promote greenhouses adapted to the northern districts of Karakalpakstan, including the focus on women to develop their own greenhouse businesses.
	• Laws on agricultural practices and water management will be amended by to integrate regulations on the adoption of conservation agriculture and water saving techniques and technologies on the farms by end of 2016.	• Gaps in legal regulatory framework supporting the promotion of well-tested farm-based adaptation measures that can be replicated and up-scaled identified and recommendations on their integration into the existing regulations formulated;		• Work is underway looking at legislation gaps. It is also a good timing with the reforms implemented by the government, particularly to review/reinforce its policy and legislation related to the agriculture sector. • This target should be achieved by the end of the project.
Outcome 3 – Landscape level adaptation measures for soil conservation and moisture retention improves climate resilience of 1,042,094 ha of land • ***Output 3.1:*** Local saksaul and tamarix plantations deliver sand stabilization and soil	• By end of the project over 70,000 ha of arid land of Karakalpakstan is covered with saksaul and tamarix plantations to deliver sand stabilization and soil desalinization function;	• The most problematic areas with poor or no vegetation coverage in 5 project pilot districts were identified with use of data derived from TERRA MODIS platform as a prerequisite to quantify yearly demand for saplings (approx. 70 million); • Landscape adaptation measures (sand stabilization, afforestation and pasture reclamation) are piloted using cooperative management approach over 80 ha in the two most exposed to land degradation/ desertification pilot		• Similar to some targets above under outcome 2, covering 70,000 ha of arid land with saksaul and tamarix is much too ambitious within the timeframe and the resources of the project. This target won't be achieved and a more realistic target is needed. • In the meantime, the Reviewing Team noted the good initiative of the project

Expected Results	Project Targets	Results (Deliverables)	MTE Assess.	Justification for rating
desalinization function for 1,042,094 ha of farm and adjacent farmlands, based on wind models and comprehensive landscape rehabilitation and management plan • ***Output 3.2:*** Community management scheme for planting and maintenance established as community employment scheme for landscape level adaptation • ***Output 3.3:*** Cooperative management for landscape rehabilitation and management established to enhance community control and ownership arrangements		districts (Muynak and Takhtakupir). It is implemented by 2 local communities jointly with 2 local forestry farms. The experiment will be expanded to over 1,000 ha;		to address the problem of desertification in the Aral Sea bed. Areas to pilot innovative approaches have been identified focusing on sand stabilization and pastures reclamation.
	• At least 20,000 people organized in at least 10 cooperatives at the Khokimiyat and Makhalla levels to participate in sand stabilization plantation scheme; • At least 10 community organizations (at least 5 female groups and village organizations) at Khokimiyat and Makhalla level have clear mandates, institutional capacities and skills to manage saksaul and tamarix plantations by end of 2019.	• A concept on establishing the cooperative management scheme for implementation of the required landscape adaptation measures developed; • 132 members of local communities (51% of women) were trained within 3 hands-on workshops on landscape adaptation measures/approaches and their implementation conducted at 3 pilot districts (Muynak, Takhtakupir and Kanlikul). • 5,963 (20 % of women) representatives of local communities from five project's pilots (in Kegeyli, Kanlikul, Chimbay, Takhtakupir and Muynak districts) provided with 2 recommendations, 4 informative quarterly bulletins on cooperative management system for landscape rehabilitation and management to enhance community control and ownership within 15 workshops, meetings, through Extension Service Centers and round table, 2 press-conferences; • Two communities with a population of 5,040 people in Kanlykul and 7,200 people in Kegeyli district were engaged in restoring degraded pastures and forests on 780ha;		• Good progress has been made under output 3.2 and 3.3. A concept to establish cooperative management schemes was developed and communities have been mobilized. The aim is for local communities to implement landscape level adaptation measures for soil conservation and moisture retention through a cooperative approach. • Based on information collected during this mid-term review, the project should make good progress in this area. • However, as per other targets above, the project will not achieve the targets identified under these 2 outputs. Engaging 20,000 people in at least 10 cooperatives to engage in sand stabilization actions and saksaul and tamarix plantations are very ambitious targets. It could be an entire project by itself. More realistic targets are needed.
Outcome 4 – Knowledge of climate resilient agricultural and pastoral production systems in arid lands generated and widely available	• At least two sets of lessons learned bulletins produced to cover successful climate resilient agronomic and water saving measures;	• Development of an Information Strategy defining methods and tools to disseminate information and knowledge from the project and contribute to the achievements of the project. The strategy is based on principles, situational analysis in key districts, demographic analysis of target groups, analysis of their training needs and concept of development of Extension Service Centers for the provision		• It is excellent that knowledge management is part of the strategy and part of the performance measurement framework (indicators and targets). It ensures that knowledge accumulated by the project is made available and, particularly, disseminated to

Expected Results	Project Targets	Results (Deliverables)	MTE Assess.	Justification for rating
• ***Output 4.1:*** Inventory of all tested agronomic and water saving measures to map out successful practices • ***Output 4.2:*** Analysis and lessons learned for climate resilient agricultural and pastoral production systems in arid lands documented and disseminated through printed and web-based publications • ***Output 4.3:*** Quarterly farm and pasture land demonstration meetings with participation of national, local authorities, media and communities delivered		of services on adaptation and climate change related matters for farmers and dekhan farms • 5 good practices were selected and documented in project publications: greenhouses and indoor growing of vegetables, improving water content in soils, salt tolerant plants growing in arid lands, seeds and sapling growing in nurseries; • Lessons focused on the DEWS, agro conservation and water saving practices, and landscape adaptation measures are captured and formulated to be finalized and documented by the end of 2017;		stakeholders/ beneficiaries of the project. • The project has been producing much information on adaptation measures that farmers may apply on their own land. • The project developed an information strategy, which will be used as a guide to disseminate project knowledge, particularly to communities (ultimate beneficiaries of the project)
	• At least 5 farmland demonstration meetings covered by the local and national media for adaptation advocacy.	• 15 demonstration meetings and workshops (535 people; 26% of female) conducted on climate change adaptation and resilience and targeting local communities. Information on the events published in newspapers and posted as web-resources, and broadcasted via national and regional radio and TV.		

Source: Adapted from project progress reports and information collected during the field mission in Uzbekistan.

Target achieved
On target to be achieved
Not on target to be achieved

56. Notwithstanding the issue with ambitious targets, the project is making progress and it has about 2.5 more years of implementation to go. In the meantime, the Reviewing Team noted 2 implementation delays. The first one was the project startup date. The project was approved by the AF Board on February 10, 2014, however, the Project Appraisal Committee (PAC) meeting took place only on April 15, 2014 and the implementation started late May 2014. The official date posted on the AF website is May 26, 2014. It is now expected that end of May 2014 is the starting date and May 2020 the ending date of the project. The second delay in implementing the project was due to the delay in transferring the second tranche of the AF grant to UNDP Uzbekistan. According to UNDP Uzbekistan, a delay of 6 months is estimated before the implementing agency received this second tranche; according to UNDP, it delayed the implementation of project supported activities estimated at 6 months.

57. As detailed in table 5 above, the project has made good progress under outcome one. It provided equipment to upgrade 10 meteorological stations that is the entire meteorological network in Karakalpakstan. It also supported training activities of local staff to develop their capacities in using this new equipment, including maintenance and operation of the equipment. It is now moving to the collect of weather data and use this information to develop weather forecasts and models to assess climate change impacts. The project will also support the process to make this information available to the public.

58. The Reviewing Team noted that in addition to the basic support in strengthening the meteorological network of Karakalpakstan, which should, by extension, provide weather forecasts and weather models to assess climate change impacts, there are also macro socio-economic benefits when investing properly in this area. As per a study from the World Meteorological Organization (WMO)[11], providing "*weather, climate and hydrological information, forecasts and, more recently, remotely sensed data and early warnings to the public and private sectors have increased the safety and efficiency of land, sea and air transport, helped communities prepare for and respond to extreme weather events, and facilitated improved decision-making in weather-sensitive economic sectors*". It states that there is no single definitive study on global benefits of these services, but economic studies have consistently generated benefit-cost ratios of greater than one. Some of these studies have shown that when improving meteorological information to reduce disaster losses in developing countries, the benefits-cost ratios range from 4 to 1 to 36 to 1. In the case of a drought early warning system in Ethiopia to reduce livelihood losses and dependence on assistance, the benefits-cost ratios range from 3 to 1 to 6 to 1. In the meantime, this WMO study states that these services do not generate economic and social value unless users benefit from decisions as a result of the information provided, even if the services are of the highest quality. In addition, these services of similar quality provided in two countries can vary significantly in terms of their benefits depending on the relative nature of weather- and climate-related risks, the number and types of users and their capacity to take actions to avoid harm or increase economic output. The WMO study concludes that the generation of meteorological and hydrological benefits is a "value chain" linking the production and delivery of services to user decisions and the outcomes and values resulting from those decisions. It is an important point to remember for the implementation of outcome one. In order for Karakalpakstan to benefit from the project's investments in this area, the project needs to make sure that the weather information that is now produced by the meteorological network is linked to potential users and their decisions.

59. Under this same outcome one, the project supported the development of a concept for instituting a science-based extension services focusing mostly on dekhan farms. This was followed by the establishment of two extension services: one in Nukus and one in Kegeyli district. Some training activities targeting farmers, dekhan farmers and household plot owners took place on best agriculture adaptation practices. An estimated 6,000 people from the surrounding communities to these centers got information on climate change adaptation practices such as agro-conservation and water saving practices. The project is now supporting the expansion of the extension service to three other centers in Karakalpakstan.

60. The Reviewing Team noted that that project had an agreement with a college in Kegeyli to open an extension service to undertake climate resilient conservation agriculture practices and water saving irrigation practices with college students from the area. However, due to the change of the educational system in Uzbekistan and the return to the 11 grades system in the summer 2017, this college was closed. As a result,

11 WMO, WB, UNSAID, GDRR, Valuing Weather and Climate: Economic Assessment of Meteorological and Hydrological Services

the project needs to identify a new pilot educational institution.

61. Under outcome two, the project has also made some progress. It has provided financial support to purchase 7 sets of equipment of laser technologies for land levelling. This equipment has been used in 5 pilot districts: Muynak, Kanlikul, Takhtakupir, Kegeyli and Chimbay all in the Karakalpakstan region over a total area of 680 ha to demonstrate the laser land levelling technique and its benefits, particularly water savings and prevention of land salinization. Over 200 farmers and workers were trained in laser land levelling in pilot areas. A further 22 ha in Kegeyli and Chimbay were used to pilot full complex/set of agro-conservation techniques and water-saving technologies.

62. Initial work has taken place to develop appropriate greenhouse design adapted to the northern part of Karakalpakstan and to identify potential beneficiaries in these communities for the development of greenhouse/hothouse businesses to grow indoor vegetables. Finally, under outcome two, a legislation analysis was conducted to identify legislation gaps limiting the adoption of conservation agriculture and water saving techniques and technologies. Recommendations to improve the legal framework for disseminating these techniques and technologies were made to the government.

63. Under outcome three, the project started by the identification of the most problematic areas in the 5 pilot districts. Then the project supported the development of a concept for instituting a cooperative management scheme for implementing landscape adaptation measures. Training of local communities (51% of women) took place on landscape adaptation measures/approaches and plantation pilots started in 3 districts (Muynak, Takhtakupir and Kanlikul). Then, sand stabilization and pastures reclamation works were initiated on 80 ha in the two most exposed to land degradation/desertification pilot districts (Muynak and Takhtakupir). Based on this demonstration using cooperative management approaches, the plan is to expand this pilot to over 1,000 ha. As a result of project seminars and workshops, two initiative groups were organized in Kanlikul and Kegeyli districts. Khakimiats of these two districts allocated 229 ha of land to the community (5,040 people) in Kanlikul and 550 ha to the community (7,200 people) in Kegeyli for reclamation of pastures, shelter belts, and forests.

64. Finally, under outcome four, the project has been developing knowledge products, including a website and publications. These information products are based on results from piloted activities and are disseminated to stakeholders. Under this outcome, meetings and workshops have taken place to communicate information on climate change adaptation and resilience targeting local communities in Karakalpakstan.

65. Overall, the project is making progress, however, the Reviewing Team found that there are major differences between the strategy under outcome one and the strategy under outcomes 2 & 3. On one hand, outcome one has a clear path that is to provide better meteorological and hydrological information to farmers in the Karakalpakstan region. On the other hand, the implementation paths to reach outcome 2 & 3 are not clear. The project has been developing/piloting a "*catalog of adaptation measures*" but it is not clear how these measures will be disseminated to farmers and communities. There is limited guidance in the project document on how the targets set at the formulation stage for these 2 outcomes will be reached; there is no real planned "*outreach model*" to achieve this type of reach out.

66. The review of the first outcome indicates a clear direction of the project and its contribution to the development of Karakalpakstan, including its adaptation to climate change. The region is now better equipped to monitor the weather and provide weather forecasts and climate change models to assess potential impact. It is now a matter for the project to continue its support to Uzhydromet to use this equipment, develop the capacity of Uzhydromet in producing weather forecasts and climate change models, and making sure that this valuable information is timely available to the public, particularly by local communities in the Karakalpakstan region. As the WMO study shows, the generation of meteorological and hydrological benefits is a "value chain" linking the production and delivery of services to user decisions and the outcomes and values resulting from those decisions.

67. Regarding the implementation of outcomes 2 & 3, the project is to support the implementation of climate resilient farming practices by farmers and landscape level adaptation measures for soil conservation and moisture retention by local communities; both to a large number of beneficiaries: 40,000 dekhan farms for outcome two and 20,000 people organized in at least 10 cooperatives for outcome 3. Notwithstanding these

ambitious targets, the current design does not seem to be conducive for reaching out to such large numbers of beneficiaries. How will the project reach these targets is the key question for outcome 2 & 3? The project is to establish science-based extension services; however, when considering the current context in Uzbekistan, it can only be done on a pilot/demonstration basis to establish such a service with an extension programme, allocate the necessary budgets, mobilize the required resources, etc. It seems that the best the project can do under these two outcomes is to demonstrate a way to reach out to farmers and how to implement a programme promoting adaptation measures to climate change.

68. In conclusion, the project has made good progress under outcome 1 and 4 and it is anticipated that it will meet its targets under these two outcomes. However, regarding outcome 2 & 3, the focus is, currently, more on piloting and constituting a "*catalog of adaptation measures*" adapted to the Karakalpakstan region and less on an "*outreach model*" to reach out to thousands of farmers and communities in the region. Nevertheless, with a budget of USD 3,101,300 (63% of the AF grant) allocated to these two outcomes, there are critical for the success of the project. The Reviewing Team is recommending reviewing the strategy of outcome 2 and 3 – including the review of output 1.4 on extension services - to emphasize the need to develop and pilot an "*outreach model*".

4.2.2. Remaining Barriers to Achieve the Project Objective

69. The project started at the end of May 2014 and will end in May 2020. At the time of this review, the project is in its 41st month of implementation with 31 more months to go before it ends. At this point, there is no critical barriers limiting its implementation over the remaining implementation period. However, its overall effectiveness will depend on how the project will be able to promote adaptation measures to local communities in the Karakalpakstan region. As discussed in section 4.2.1, the project has been piloting a "*catalog of adaptation measures*" and is facing the challenge of outreaching farmers and local communities at large. Under output 1.4, it is piloting several extension service centers but much more is needed to cover the region and ensure that thousands of farmers adopt these measures. The project benefits from a strong support from the national implementing agency – Uzhydromet – and also from government reforms of the agriculture sector that are underway. It should capitalize on these opportunities and review its approach to develop an "*outreach model*", which could then be replicated/scaled up near the end of the project.

70. At the strategic level, the rationale of the project for developing the climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan was to remove critical barriers preventing the long-term solution that is to protect arid land, increase agricultural productivity while adapting to climate change. Four main barriers were identified at the outset of this project: (i) there is no systematic extension service available to over 100,000 agricultural and pastoral farms in Uzbekistan. Those services, which do exist tend to favor larger farmers and do not take a climate change adaptation perspective; (ii) there is no comprehensive early warning system in place to guide water allocation and crop and pasture planning and management. No tailored forecast products are readily available; particularly to farmers; (iii) there is no government policy nor financial incentives for large-scale adoption of adaptation measures, despite numerous pilot initiatives that demonstrated good agriculture and natural resource management practices: (iv) there are no integrated land use planning and policies for landscape level rehabilitation and sustainable land management to allow for the functional integrity of the arid landscapes and hence greater resilience to climate change impacts.

71. The project – through its activities - has been addressing these four barriers, which ultimately will gauge the overall effectiveness of the project at the end. Removing them is critical for the development of the agriculture sector in Karakalpakstan. As discussed in previous sections, this project is timely and responds to national priorities; however, its focus is, so far, much on the identification and development of best practices. It needs to focus more on outreaching to farmers and local communities to be fully effective. It is the main recommendation of the MTR and there is still enough implementation time to modify the course of action and seek a greater outreach to amplify the adoption of adaptation measures by farmers and communities before the end of the project.

4.3. Project Implementation and Adaptive Management

72. This section discusses the assessment of how the project has been implemented. It assessed how efficient

the management of the project has been and how conducive it is to contribute to a successful project implementation.

4.3.1. Management Arrangements

73. The management arrangements of the AF project is as follows:

- *The National Implementing Partner is Uzhydromet*, a government agency under the Ministry of Emergency Situations. Its branch office in Nukus is also involved in overseeing the implementation of the project in the Karakalpakstan region. Uzhydromet is overall responsible for applying AF inputs in order to reach the expected outcomes/outputs as defined in the project document. It is responsible for the timely delivery of project inputs and outputs, and for the coordination of all other responsible parties, including other government agencies, regional and local government authorities. Uzhydromet fulfills the *Executive Role* to ensure full government support of the project implementation, and also the *Senior Beneficiary Role* representing the interests of those who will ultimately benefit from the project.
- *UNDP is the Multilateral Implementing Entity (MIE)* for this project and fulfills the *Senior Supplier Role*. It provides support to the Project Manager (PM) in order to maximize the reach of the project and its impact as well as the delivery of quality products. UNDP is responsible for administering resources and financial management in accordance with the specific objectives defined in the project document. It undertakes the internal monitoring of the project and of evaluation activities and it is fully accountable for the effective implementation of this project. As the MIE, UNDP – as the *Quality Assurance Entity* - is responsible for providing a number of key general management and specialized technical support services such as briefing and de-briefing of project staff and consultants, general oversight and monitoring; receipt, allocation, and reporting to the donor of financial resources; thematic and technical backstopping; knowledge transfer; policy advisory services; and capacity building. UNDP is particularly tasked with:
    - Identification and/or recruitment and solution of administrative issues related to the project personnel;
    - Procurement of commodities, labor and services;
    - Identification and facilitation of training activities, seminars and workshops;
    - Processing of direct payments.
- *A Project Board (PB)* provides overall guidance. It includes representation from Uzhydromet as the *Executive* and *Senior Beneficiary* and, UNDP as the *Senior Supplier*. Other key national governmental and non-governmental agencies, appropriate local level representatives, representatives of local governments and self-government, and independent third-parties can attend PB meetings as observers. The PB is responsible for making management decisions for the project, in particular when guidance is required by the Project Manager (PM). It oversees project monitoring and evaluations and ensures that required resources are committed. It approves the appointment and responsibilities of the PM and approved Annual Work Plans.
- *A National Project Coordinator (NPC)* acts as the *Executive*. The NPC represents the project "owners". This person is a senior official appointed by Uzhydromet ensuring the full government support to the project.
- *A National Inter-Agency Working Group* was established by a government resolution (September 2, 2014, No. 03-5/885) at the beginning of the project, following the first PB meeting held on December 24, 2014. It is composed of eight (8) representatives from key ministries and agencies (Ministry of Finance, Ministry of Economy, State Committee for Nature Protection, Ministry of Agriculture and Water Resources and Uzhydromet) at the national level. It meets once a year (more if needed) to review the progress of the project and review potential issues faced by the implementation of project activities. Its main objective is to facilitate and coordinate the implementation of the project and strengthen the project ownership by government entities.
- *A Sub-National Inter-Agency Working Group* was also established by a government resolution (October 9, 2014, No. 213-b) to ensure more efficient involvement and coverage of targeted local communities vulnerable to climate change impacts, to establish partnership and cooperation with farmers and dekhan farms in Karakalpakstan as well as to ensure mainstreaming relevant gender activities. It is composed of nine representatives from the regional government ministries and agencies of the autonomous Republic of Karakalpakstan: Ministry of Agriculture and Water

Resources of Karakalpakstan (the Minister is the Coordinator of this working group), Secretariat of Agriculture and Water Resources of the Council of Ministers of the Republic of Karakalpakstan, Specialist on Agrarian and Ecology issues of the Council of Ministers of the Republic of Karakalpakstan, Kengash (Council) of Farmers in Karakalpakstan, Forestry Department of Karakalpakstan, Ministry of Economy of Karakalpakstan, Department of Hydrometeorology, and the Committee for Nature Protection, Lower Amu Darya Basin Management of Irrigation Systems. This group meets regularly, mostly on an ad-hoc basis when there is a need to address potential issues or to make decisions related to the implementation of the project such as signing a protocol or the selection of a procuring entity. No members of this group are part of the national inter-agency working group but it is envisaged by the project management team to include some of these representatives in the national inter-agency working group.

- *The Project Manager (PM)* was recruited in accordance with UNDP's regulations; he is based in Tashkent. The PM is responsible for the overall project coordination and implementation, consolidation of work plans, preparation of quarterly progress reports, reporting to the PB, and supervising the work of project experts and other project staff. He also closely coordinates project activities with relevant government institutions and holds regular consultations with other project stakeholders and partners.
- *A Project Implementation Unit (PIU)* was established at Uzhydromet. It comprises five (5) positions including one UNV: four (4) full-time positions: a Project Manager (PM), a Project Administrative and Financial Assistant, a Project Technical Assistant (UNV) and a Driver; and one (1) part-time position a Public Relation Specialist (50%). The PIU assists Uzhydromet in performing its role as the National Implementing Partner. An office was provided by Uzhydromet.
- *A Regional Project Implementation Unit* was established in Nukus, Karakalpakstan and shares office space with the UN Joint Programme. It comprises four (4) full-time positions including one UNV: a Sub-National Field Coordinator, a Specialist on Landscape Level Adaptation Measures, a second Specialist on Landscape Level Adaptation Measure (UNV) based in Tashkent but with frequent trips to the region, a Project Field Assistant and a Driver.
- *National and International Experts* are hired to conduct specific project tasks. They are under the supervision of the PM, who is to ensure the timely delivery of their assignments.

74. The implementation modality of the project to allocate, administer and report on project resources is the "*UNDP Country Office Support to NIM*" approach; that is project activities are carried out by the Project Team in partnership with Uzhydromet and reporting to UNDP as per the guidelines in the UNDP Programme and Operations Policies and Procedures (POPP). Overall, roles and responsibilities were clearly identified and accepted, including the need to follow administrative procedures from UNDP and the Government of Uzbekistan.

75. The PB met four times since the inception of the project: December 24, 2014, November 3, 2015, December 16, 2016 and December 14, 2017. The review of the minutes indicates an adequate process of reviewing annual work plans and progress made as well as discussing issues and making the required decisions for the PM to move forward. The Reviewing Team noted that at the third meeting (December 16, 2016), UNDP raised the slow progress of the project and that the project "*could do much more and better*". At the same time, UNDP recognized the progress made but emphasized the need to focus more on local communities. It requested the project to continuously monitor project achievements, get feedback from stakeholders and document the social, economic and environmental benefits at the community level.

76. The review indicates that the management arrangements of the project are adequate for the implementation of the project. The project is implemented partly from Tashkent (outcome 1 and 4) and partly from Nukus (outcome 2 and 3). As the implementation is moving ahead, it is anticipated that more and more activities will take place in the Karakalpakstan region. The Reviewing Team noted that this question has already been discussed at the third PB meeting of December 16, 2016 and at the fourth PB meeting of December 14, 2017. In 2016, it was proposed to change the current position of the Project Manager of the UN Joint Programme based in Nukus into a combined position as the Project Manager of the UN Joint Programme and of the components two and three of the AF project, in order to ensure the coordination of activities under these two outcomes in the Karakalpakstan region. This proposal was approved by the PB at this meeting. This change is being implemented since January 2017. The Reviewing Team confirms that the project needed to

adapt its management structure with more presence in the region. Otherwise, the project is implemented by a good technical team of professionals bringing together a broad range of skills and knowledge in the meteorology, hydrology, agriculture, water, pasture and capacity building areas. The project also benefits from a good support from Uzhydromet, the National Implementing Partner. UNDP has also been providing a good and timely backstopping role to the project as well as a management and administrative support for procuring needed goods and services including hiring consultants. It has been fulfilling its responsibilities as the *Senior Supplier* and also as the *Quality Assurance Entity*, providing general oversight and monitoring support services; including a good focus on how the project is progressing toward its expected results.

4.3.2. Stakeholder Engagement

77. As discussed in section 4.1.1, the project is highly relevant to national priorities. According to the project document, it was developed with good consultations of stakeholders. Consultations were led by Uzhydromet, which is the Designated National Authority for the Adaptation Fund in Uzbekistan. An initial consultation meeting was held to outline the critical adaptation priorities that emerged in the Second National Communication (SNC) and to review the AF requirements for project eligibility. In addition to the relevant government entities that were consulted during the formulation stage of this project, both Dekhan agro-pastoralists and large-scale farmers were also consulted to assess their participation in the implementation of the project. A total of 286 people (93 women) from 14 districts (out of 15 districts in Karakalpakstan) were directly consulted through community consultation workshops held at Khokimiat offices and Mahallas. Information collected during these consultations was used to conduct a Conditional Vulnerability Index (CVI) analysis, which was used as the basis for determining the geographic focus of the project in the four most vulnerable districts of Karakalpakstan: Kanlikul, Takhtakupir, Kegeyli and Chimbay[12].

78. The key findings of these consultations have been very useful for the implementation of the project. They include:

- The local land users are not very aware of optimized use of water resources, cultivating drought resistant and salt-tolerant crops in drought years;
- The primary interest of dekhan farms and farmers of northern villages of Kegeyli district is in developing livestock and dairy production rather than farming. The water scarcity in these downstream villages often pose difficulties for farming;
- One of the main activities in developing livestock and diary production is to build a forage base by cultivating alfalfa in order to provide the stability during drought years. Alfalfa is the most appropriate fodder crop in Karakalpakstan due to its drought-resistant and salt-tolerance;
- The northern downstream districts are facing issues with quantity and quality of water resources that they receive. These districts are less likely to be successful in agriculture, yet agriculture is the sole source of income. Many people go to Kazakhstan and Russia to work from spring to autumn season every year;
- The consultations held with government officials on the Social and Economic Development Program priorities indicates that the livestock production is critical in the driest zones and therefore collective production of forage crops is a major livelihood factor.

79. The Reviewing Team found that the CVI analysis was an excellent approach to identify the needs of dekhan farmers and pastoralists. It allowed to focus the design of the project on the needs of beneficiaries. As a result, and based on the CVI analysis findings, the project identified the potential social, economic and environmental benefits for each group: dekhan farmers, commercial farmers and livestock keepers.

80. In addition to the farming communities as beneficiaries of the project, few national and regional organizations were consulted to be part of the project; they include:

- Uzhydromet
- Ministry of Economy
- Ministry of Agriculture and Water Resources
- State Committee for Nature Protection
- State Committee for Land, Geodesy, Cartography and State Cadaster

12 A fifth district (Muynak) was added as a targeted district for the AF project and also the UN Joint Programme. This decision was taken at the PB meeting of December 16, 2016.

- Ministry of Finance
- Ministry of Health
- Ministry of External Economic Relations, Investments and Trade
- Council of Ministers of Karakalpakstan
- Council of Farmers of Karakalpakstan
- Uzhydromet Department of Karakalpakstan
- Other projects and donors

81. However, despite a good analysis and engagement of stakeholders at the outset of the project, no specific strategy was identified in the project document to secure a strong engagement of stakeholders in the implementation of the project. Nevertheless, in order to address this lack of stakeholder engagement strategy, the project - with the strong support of Uzhydromet - established a national (based in Tashkent) and a regional (based in Nukus) inter-agency working groups, which both were formalized through a government resolution (*see Section 4.3.1*). These working groups are currently key instruments for engaging stakeholders. They meet on a need-basis and are de facto the body where technical discussion takes place and proposals are made to move the project forward; if needed these proposals are submitted to the PB for decision. Both working groups are composed of key development players related to the project and provide excellent platforms to discuss ideas, innovations and needs to adapt the agricultural sector to climate change effects in the Karakalpakstan region and increase the coordination and cooperation among agencies.

82. In addition, in order to ensure a good engagement of beneficiaries, the project established five (5) "*initiative groups*", one in each selected district. Each group is composed of 5-7 persons representing the surrounding rural communities. These *initiative groups* are aimed at strengthening the interaction between national and sub-national executing agencies and end-users (beneficiaries) such as farmers, dekhan farms and small land owners.

83. The project set up good mechanisms to reach out to beneficiaries. However, the review conducted for this MTR reveals that the project still needs to increase its outreach to beneficiaries. It is a critical success factor for the project. As discussed in Section 4.2.1, the project has so far focus much on developing a "*catalog of adaptation measures*", it needs now to focus much more on engaging beneficiaries in the five selected districts. The regional inter-agency working group is a good instrument to engage stakeholders but more is needed, particularly the development of a mechanism to engage farmers, dekhan farmers and small land owners at the community level. The project has also been supporting the establishment of several extension service centers, which is also a way to engage communities and promote the adoption of these adaptation measures. Overall, the project needs to develop an "*outreach model*", which should be piloted and hopefully ready to be scaled up by the end of the project.

4.3.3. Work Planning

84. Project Annual Work Plans (AWPs) were produced every year from 2014. These AWPs were developed following UNDP project management guidelines, including the calendar year cycle (January to December for each year). Once finalized, these AWPs were reviewed and endorsed by the PB and approved by UNDP. The budget for these AWPs are systematically recorded in the UNDP Atlas system. These AWPs details the list of main actions to be conducted during the coming year following the structure of the log frame (objective, outcomes, outputs and main activities) of the project. For the group of actions under each activity, they include a tentative schedule (per quarter) when each activity will be implemented, the funding sources (AF and TRAC), and a corresponding budget to conduct these actions.

85. Based on the information collected, the Reviewing Team compared the budgeted annual work plans with the actual annual disbursements; the results are presented in the table below:

Table 6: Annual Work Plans versus Actual Expenditures (AF grant + UNDP TRAC)

Years	AWP Budgets	Actual Expenditures	% Spent
2014	40,906	33,869	83%

Years	AWP Budgets	Actual Expenditures	% Spent
2015	1,188,120	205,602	17%
2016	1,217141	487,853	40%
2017	578,956	410,121[13]	71%

Sources: Project AWPs and UNDP-Atlas CDR Reports

86. Numbers presented in the table above reveal that work planning has not been too efficient up to 2017. Expenditures were well under budget for the years 2015 and 2016, representing respectively only 17% of the approved AWP-2015 budget and 40% in 2016. However, in 2017, the financial management of the project has been getting more efficient; expenditures to end of September 2017 represent 71% of the AWP-2017 budget versus 75% of the time (9 months out of 12). It was noted by the Reviewing Team that the main reason for the low disbursement in 2015 was mostly due to the 6-month delay in receiving the second tranche from the AF grant.

87. As the project is now in full implementation, it is expected that the work planning will continue to be more efficient. Nevertheless, when considering the remaining AF budget to be expended between October 2017 and May 2020, the yearly average of project expenditures would need to drastically increase for the entire AF grant to be expended by May 2020. A rapid calculation of the remaining AF grant indicates that the expenditures during the remaining 32 months of implementation should be about USD 1,475,000 per year or about USD 123,000 per month. The review conducted for this MTR indicates that it is unlikely that this remaining budget will be spent by May 2020 (*see also Section 4.3.4 below*).

4.3.4. Finance and Co-finance

88. As discuss in Section 4.3.1, the implementation modality of the project to allocate, administer and report on project resources is the National Implementation Modality (NIM); that is project activities are carried out by the Project Team in partnership with Uzhydromet and reported to UNDP as per the guidelines. Under this approach, the government has key control functions related to all aspects of project leadership, management and implementation (nominates the National Project Coordinator, who co-chairs the Project Board, considers and approves key milestones, such as annual work plans, budgets, management responses to mid-term and final evaluations, participates in monitoring, etc., as further described in the Management Arrangements). At the same time, under the NIM approach, UNDP has committed to provide some specialized technical oversight services to the project. This commitment was confirmed by a letter of co-financing to this project reflecting an amount of USD 200,000 taken from its core budget to finance the cost of these direct project services to be provided during the entire project duration.

89. At the time of this evaluation, the review of financial records as recorded in the UNDP Atlas system indicates that the actual expenditures allocated against the AF project grant for the years 2014 to September 2017 represent just over 21% (USD 1,056,797) of the approved budget of USD 4,990,878 versus an elapsed time of 56% (40 months out of 72). The breakdown of project expenditures by outcome and by year is presented in the table below.

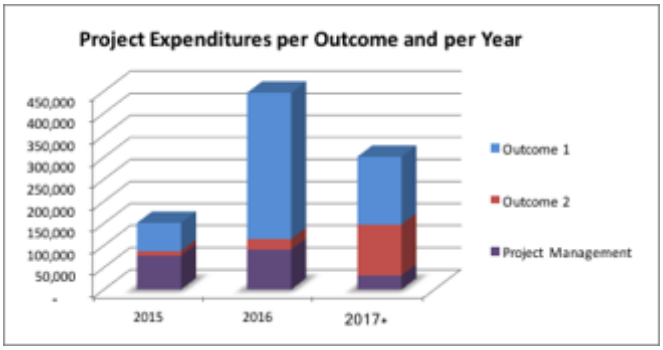
Table 7: UNDP-AF Project Funds Disbursement Status (in USD)

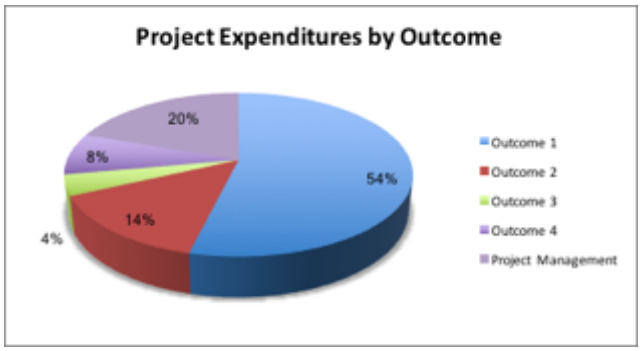
Component	Budget (USD)	2014	2015	2016	2017[8]	Total (USD)	Total/ Budget
Outcome 1	**1,257,000**	19,448	63,931	331,802	153,637	**568,819**	**45.3%**
Outcome 2	**1,377,400**	-	10,501	24,032	115,802	**150,335**	**10.9%**
Outcome 3	**1,723,900**	-	8,011	13,076	22,302	**43,389**	**2.5%**

13 Includes expenditures from January to end of September 2017.

Component	Budget (USD)	2014	2015	2016	2017[8]	Total (USD)	Total/ Budget
Outcome 4	**273,400**	100	20,934	34,185	32,545	**87,764**	**32.1%**
Project Management	**359,178**	6,997	76,861	90,778	31,854	**206,490**	**57.5%**
TOTAL	**4,990,878**	26,545	180,238	493,873	356,140	**1,056,797**	**21.2%**

Sources: UNDP Atlas Financial Reports (Combined Delivery Reports to September 2017 (CDRs)) and information collected from the Project Team.

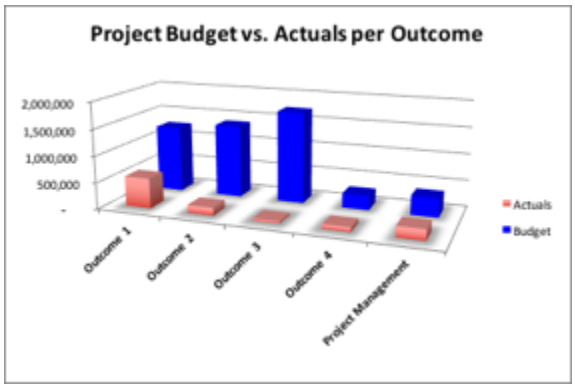




90. As discussed in section 4.3.3, these financial figures confirm the slow disbursements by the project. With a project starting date of June 2014, the project expended USD 1,056,797 to the end of September 2017 that is only 21% of the AF grant versus 56% of the project timeline (40 months out of 72 months). As of October 1, 2017, the remaining budget from the AF grant is USD 3,934,081 (79%). When considering the timeline left for implementing the project, it is doubtful that the entire budget will be expended by May 2020. Taking as a benchmark the average monthly disbursement of the first 40 months of USD 26,420, the average monthly disbursement for the remaining period of 32 months needs to be USD 122,940 or almost five (5) times the average of the first 40 months of implementation. It is not impossible to achieve but it requires a drastic change in managing the project with a significant increase of project activities to reach this average.

91. At the same time, the project is moving ahead with its implementation plan with the anticipation that it will focus more and more on reaching out to beneficiaries in communities in the Karakalpakstan region. Based on the assessment of the finances of the project, the Reviewing Team anticipate that the entire AF grant will not be totally expended by May 2020; it recommends a time extension justified with more investments in engaging communities to adopt these adaptation measures. By May 2020, any extension of activities conducted with the support of the project should provide a good return in term of results. By then, communities will be aware about these adaptation measures, pilots will have demonstrated these measures and their associated benefits for communities and some communities will have started to adopt these measures. Any time extension should translate into more adoption of these measures benefiting from the various instruments developed by the project.

92. The review of expenditures against budgets per outcome reveals an unequal level of spending. The table above indicates that over 45% of the budget for outcome 1 has been expended to September 2017 but only 10.5% and 2.5% have been expended for respectively outcome 2 and 3. Finally 32% has been spent under outcome 4 and over 57% for project management. The latter (project management) represents almost 20% of the expenditures so far; this is high and should be carefully monitored.



93. The Reviewing Team also noted that despite a somewhat similar AF budget for outcome 1, 2 and 3, so far, the project has spent much more on outcome 1 than on outcome 2 and 3; 45% of the total amount spent so far was spent on activities and procurement of goods under outcome 1. These financial figures also confirm the good progress made under outcome 1 and slower progress under outcome 2 and 3. It also confirms the

need for the project to focus more on reaching out to beneficiaries (outcome 1 and 2), promoting adaptation measures and seeking their adoption by farmers, dekhan farmers and small plot owners. As discussed in other sections above, at this point, it is one of the main critical success factors for this project. The budget is there to be used for promoting the adoption of these adaptation measures.

94. From a financial disbursement point of view, the Reviewing Team noted that some procurement activities are underway to procure equipment for the project. It includes 7 sets of laser levelling equipment (graders + information technology equipment); 4-5 sets of zero-tillage planters; about 500 hand tools for gardening; 44 units of water saving for drip irrigation; 1 or more tractors; and later some greenhouse equipment. All this procurement should increase the disbursements of the project funds in the coming months and contribute to increase the rate of spending.

Co-financing

95. The co-financing commitments at the outset of the project totaled the amount of USD 200,000 (*see table below*), which represented almost 4% of the total budgeted amount in the project document of USD 5,190,878 (AF grant + co-financing). As discussed above, this co-financing commitment of USD $200,000 of cash from UNDP is to finance specialized technical oversight services to the project.

Table 8: Co-financing Status

Partner	Type	Commitments (USD)	Actuals (USD)
UNDP	Cash	200,000	80,647
	Total (USD)	**200,000**	**80,647**

Source: Project Document and UNDP CDRs to September 2017

96. At the time of this MTR, information from the UNDP "*Combined Delivery Reports (CDRs)*" indicates that so far UNDP has contributed an amount of USD 80,467 as co-financing to this project or 40% of the committed amount of USD 200,000. In addition, despite no reporting of government agencies contribution to the project, the Reviewing Team confirms that project partners have been contributing critical resources (mostly in-kind) to the implementation of this project. Uzhydromet has provided office space for the PIU and overall have led the implementation of the project. So far, staff from partner organizations have been well engaged in project activities when needed.

4.3.5. Project-level Monitoring and Evaluation Systems

97. A monitoring and evaluation framework was developed during the formulation of the project in accordance with standard UNDP and AF procedures, including the UNDP monitoring and evaluation practices for NIM projects. An M&E budget of USD 60,000 was allocated representing only about 1.2% of the AF grant. This framework listed monitoring and evaluation activities to monitor/measure the performance of the project; including a mid-term review and a final evaluation. For each M&E activity, the responsible party(ies) was/were identified, as well as a budget and schedule. The monitoring framework was based on the PRF matrix that included a set of performance monitoring indicators along with their corresponding means of verification.

98. The M&E framework was reviewed during the inception phase and few minor changes were made to adjust the timelines of some targets due to a delay in the start-up of the project. A summary of the operating modalities of the M&E plan are as follows:

- *Performance indicators:* A set of 15 key indicators with their respective baselines and targets at the end of the project were identified and documented in the *Project Results Framework*.
- *Inception workshops*: Two inception workshops were conducted near the end of the inception phase: one in Tashkent on October 22, 2104 and one in Nukus on October 29, 2014 with the participation of 54 people in Tashkent and 47 in Nukus, representing a broad group of stakeholders from government agencies to media, other donors, and NGOs. These workshops were opportunities to formally launch the project. The project strategy was presented and discussed as well as the management arrangements, monitoring indicators, the risks, and importantly the roles and responsibilities of each party involved in the implementation of the project. The first-year work plan with the related budget was also reviewed. Finally, a project

inception report was drafted to summarize and conclude the inception phase.

- *Risks Log*: It was planned to log all project risks in the UNDP Atlas system and this log to be updated by the Programme Manager semi-annually to facilitate tracking and response of potential problems or requests for change.
- *Quarterly Progress Reports*: Quality progress reports are completed by the project team and verified by the PB.
- *Annual Project Reports (APRs)*: These annual progress reports are submitted by the Project Manager to the PB using the UNDP standards for project progress reporting, including a summary of results achieved against pre-defined annual targets at the output level.
- *Results Tracker*: This tool is to track results achieved by projects funded by the AF. It is to be updated annually and submitted as part of the annual PPR. It is a report documenting results achieved against the AF objectives, outcomes and output indicators.
- *Field Visits*: PB members and UNDP staff must conduct field visits to project sites to assess first hand progress of the project.
- *External mid-term review and final project evaluations*: The mid-term review is underway; a terminal evaluation is planned following UNDP practice and evaluation guidelines.
- *Annual Audits*: Audits will be conducted in accordance with UNDP Financial Regulations and Rules and applicable audit policies on UNDP projects by a legally recognized auditor of the Government, or by a commercial auditor engaged by the Government. It was noted that no audits of the project financial records have been conducted so far.

99. The set of indicators presented in the *Project Results Framework* was reviewed during this review. It includes a set of 15 key output indicators – each one with a baseline and a target by the end of the project - to monitor the performance of the project mostly at the output level. The list of these key indicators and targets is presented in the table below:

Table 9: List of Performance Indicators

Project Outcomes	Indicators	Targets
Objective - To develop climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan.	*No indicator identified*	*No target identified*
Outcome 1 - Institutional and technical capacity and mechanisms for drought risk management and early warning developed. • ***Output 1.1:*** Upgraded observation and monitoring infrastructure (e.g. 2 Doppler water meters, automatization of 8 met stations) for effective data receiving and transmission. • ***Output 1.2:*** Multi-modal platform for integration of data flow from hydro-meteorological observation to end users. • ***Output 1.3:*** Drought early warning mechanisms (indicators, gauges, warning distribution mechanisms etc.) to minimize impacts of droughts in place and functional. • ***Output 1.4:*** Science-based extension services for subsistence dekhan farmers established to assist in farm-based climate risk management, including sub-district, community level Climate Field School/Extension (CFS /E) for direct outreach to farmers and localized training in adaptation practices.	• Number and quality of forecasts and drought early warnings for Karakalpakstan region; • Percentage of vulnerable farmers and pastoralists receiving science-based extension services to promote drought risk reduction among vulnerable farmers and pastoralists **Outputs Indicators** 1. Number of automated met stations for field data collection and transmission	• Instalment of 2 Doppler water meters and 8 automated meteorological stations
	2. Coverage of hydro-meteorological observation network on km^2	• At least 40,000 km2 of the Karakalpakstan region will be covered by automated hydro-meteorological observation network
	3. Lead time for drought early warning	• Season ahead forecasts and 2 weeks ahead temperature forecasts for effective warnings will be practiced
	4. % Dekhan farmers (% female Dekhan farmers) receiving extension services to introduce farm-based climate risk management measures	• At least 40% of Dekhan farmers and pastoralists of Karakalpak region will be

Project Outcomes	Indicators	Targets
		served by science-based extension
	5. # of Field School/Extension delivering training in adaptation practices to farmers and pastoralists	• At least 3 Field School/Extension established to deliver training in adaptation practices to farmers and pastoralists; • At least 20% of targeted Dekhan beneficiaries will be female.
Outcome 2 – Climate resilient farming practices established on subsistence dekhan farms of Karakalpakstan • ***Output 2.1:*** 40,000 Dekhan farmers have adopted climate resilient conservation agriculture practices (e.g. low till, mixed cropping, fodder production, and residue crop soil covering adopted measures adopted at 80,000 ha of dekhan farms) • ***Output 2.2:*** 40,000 Dekhan farmers have adopted water saving irrigation practices (e.g. land leveling, well management, furrow and drip irrigation systems adopted at 80,000 ha dekhan farms to improve farm-level drainage and minimize salinization) • ***Output 2.3:*** 40% of targeted dekhan farmers have established horticulture greenhouses on 20,000 ha of farms to minimize impacts of droughts on farm production • ***Output 2.4:*** Legal and regulatory framework put in place to support well tested farm-based adaptation measures for replication and upscale	• Percentage of population adopted climate resilient conservation agriculture and water saving measures at the farm level **<u>Outputs Indicators</u>** 6. # of dekhan farmers adopted conservation agriculture practices (e.g. low till, mixed cropping, fodder production, and residue crop soil)	• At least 40,000 Dekhan farmers have adopted climate resilient conservation agriculture practices (e.g. low till, mixed cropping, fodder production, and residue crop soil covering adopted measures adopted at 80,000 ha of dekhan farms) by end of the project;
	7. # of dekhan farmers adopted water saving irrigation practices (e.g. land levelling, furrow and drip irrigation systems)	• At least 40,000 Dekhan farmers have adopted water saving irrigation practices (e.g. land levelling, furrow, drip irrigation systems adopted at 80,000 ha dekhan farms to improve farm-level drainage and minimize salinization) by end of the project
	8. Number of female lead horticulture greenhouses established	• Female lead horticulture greenhouses will be established by mid of 2016
	9. # of legal acts and regulations enacted to support well tested farm-based adaptation measures.	• Laws on agricultural practices and water management will be amended by to integrate regulations on the adoption of conservation agriculture and water saving techniques and technologies on the farms by end of 2016
Outcome 3 – Landscape level adaptation measures for soil conservation and moisture retention improves climate resilience of 1,042,094 ha of land • ***Output 3.1:*** Local saksaul and tamarix plantations deliver sand stabilization and soil desalinization function for 1,042,094 ha of farm and adjacent farmlands, based on wind models and comprehensive landscape rehabilitation and management plan • ***Output 3.2:*** Community management scheme for planting and maintenance established as community employment scheme for landscape level adaptation	• Coverage (in ha) of landscape level adaptation measures implemented for sand stabilization and moisture retention **<u>Outputs Indicators</u>** 10. # of ha with saksaul and tamarix plantations to deliver sand stabilization and soil desalinization function	• By end of the project over 70,000 ha of arid land of Karakalpakstan is covered with saksaul and tamarix plantations to deliver sand stabilization and soil desalinization function
	11. # of Dekhan farmer and pastoral community members involved in landscape level adaptation measures	• At least 20,000 people organized in at least 10 cooperatives at the Khokimiyat

Project Outcomes	Indicators	Targets
Output 3.3: Cooperative management for landscape rehabilitation and management established to enhance community control and ownership arrangements	(e.g. saksaul and tamarix planting) through local employment programme	and Makhalla levels to participate in sand stabilization plantation scheme
	12. # of cooperatives established at Khokimiyat and Makhalla levels for community management of sand stabilizing plantations.	• At least 10 community organizations (at least 5 female groups and village organizations) at Khokimiyat and Makhalla level have clear mandates, institutional capacities and skills to manage saksaul and tamarix plantations by end of 2019
Outcome 4 – Knowledge of climate resilient agricultural and pastoral production systems in arid lands generated and widely available • ***Output 4.1:*** Inventory of all tested agronomic and water saving measures to map out successful practices • ***Output 4.2:*** Analysis and lessons learned for climate resilient agricultural and pastoral production systems in arid lands documented and disseminated through printed and web-based publications	• Percentage of population aware of and practicing well tested, climate resilient agricultural practices **<u>Outputs Indicators</u>** 13. # of documented good practices of agronomic and water saving measures. 14. # of lessons learned bulletins disseminated through printed and web-based media	• At least two sets of lessons learned bulletins produced to cover successful climate resilient agronomic and water saving measures
• ***Output 4.3:*** Quarterly farm and pasture land demonstration meetings with participation of national, local authorities, media and communities delivered	15. # of farm and pasture land demonstration meetings covered by media and attended by national and local authorities	• At least 5 farmland demonstration meetings covered by the local and national media for adaptation advocacy

Source: Project Document, Inception Report and PPRs

100. This set of 15 indicators and their respective targets did not change since the formulation of the project; except two minor changes made during the inception phase: delayed the date from 2015 to 2019 to reach the target for the indicator #12 and delayed the date from end of 2014 to mid of 2016 for the indicator #8. These indicators have been used yearly to report progress made in PPRs. In addition, the project team has also been completing the AF tracking tool "*Results Tracker*" that is part of each PPR. As discussed in the section 4.3.6, this tracking tool will need to be reviewed/adapted if the proposed recommendation to modify some targets is implemented, particularly: indicator 3.1 and the core indicator 5.1.

101. The Reviewing Team noted that some of the output statements included targets such *output 2.1 - 40,000 Dekhan farmers have adopted climate resilient conservation agriculture practices (e.g. low till, mixed cropping, fodder production, and residue crop soil covering adopted measures adopted at 80,000 ha of dekhan farms)*. It is also the case for outputs 2.2, 2.3 and 3.1. This is not a practice that is used much for development project. Instead, outputs should rather be stated as expected results from development interventions, which should be relevant to the achievement of outcomes. In the case of output 2.1, the number of dekhan farmers (40,000) should not be the focus on this expected result. This output should more simply state that dekhan farmers have adopted and have the capacity to implement adaptation measures. Then, the indicator could be the number (or percentage) of dekhan farms that have adopted adaptation measures and the target the specific number (or percentage) of dekhan farms that have adopted these measures.

A focus on quantitative indicators

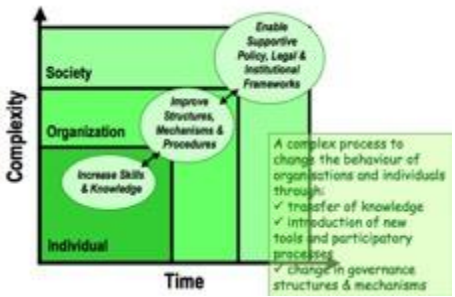
102. The review of these indicators and their respective targets reveals that these indicators are mostly quantitative indicators, focusing much on number of or percentage of targeted areas or targeted audiences as opposed to more quality-based indicators. For instance, achieving this target "*by end of the project over 70,000 ha of arid land of Karakalpakstan is covered with saksaul and tamarix plantations to deliver sand stabilization and soil desalinization function*" consists mostly in planting 70,000 ha of saksaul and tamarix. Similarly, reaching the target "*at least 20,000 people organized in at least 10 cooperatives at the Khokimiyat and Makhalla levels to participate in sand stabilization plantation scheme*" consist in creating 10 cooperatives with a total number of 20,000 members; reaching the target "*at least 40,000 Dekhan farmers have adopted*

climate resilient conservation agriculture practices (e.g. low till, mixed cropping, fodder production, and residue crop soil covering adopted measures adopted at 80,000 ha of dekhan farms) by end of the project" consist in having 40,000 dekhan farmers to adopt climate resilient conservation agriculture practices before the end of the project. Despite that these targets are valid measurements if they can be met, there would still be the question did these results develop the climate resilience of farming and pastoral communities in Karakalpakstan? Furthermore, how sustainable these results are?

103. Quantitative indicators give a very clear measure of things and are numerically comparable. They also provide an easy comparison of a project progress over time and are easy to monitor and do not require too much resources to collect data. However, quantitative indicators also do not depict the status of something in more qualitative terms. Degree of capacity developed are often better captured by qualitative indicators. For example, how will local saksaul and tamarix plantations deliver sand stabilization and soil desalinization function for 1,042,094 ha of farm and adjacent farmlands, …….? The answer to this question may not only be the plantation of 70,000 ha of arid land covered with saksaul and tamarix. It will require a lot of capacities to be developed including the capacity to produce the necessary seedlings, the techniques to plant and maintain the plantations for a period until the trees are strong enough to sustain themselves but also the questions of land ownership, including how to share the products of these plantations, government/extension support system(s), enabling environment (policies and laws), etc.

104. In the meantime, it is true that "*to develop climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan*", the procurement of 2 doppler water meters and 8 automated meteorological stations; the adoption by 40,000 dekhan farmers of climate resilient conservation agriculture practices and water saving irrigation practices; the establishment of greenhouses on 20,000ha, the plantations of 70,000 ha with saksaul and tamarix; and the establishment of 10 cooperatives with 20,000 members will contribute to increasing the resilience of farming and pastoral communities in Karakalpakstan. However, this contribution may not be measurable only in strict quantitative terms, but it could be graded based on qualitative findings. Using a mix of quantitative and qualitative indicators would allow the project team to better measure the degree of adaptation of these communities to climate change impacts by providing quantity and quality information about project achievements.

105. Similar to other projects, the review found that this project focuses on capacity development. As stated in the project document *"… to that end capacity building is an element in each component*", the project is about developing the capacity of farming and pastoral communities to be more resilient to climate change effects through the adoption of adaptation measures. As it is well known, to succeed, capacity development initiatives need to address a full range of capacities. As shown on the diagram, it includes the development of skills and knowledge of stakeholders and beneficiaries. However, to sustain these individual capacities, project activities also need to focus on improving the structures, mechanisms and procedures of institutions such as the recent "push" by the government to strengthen its extension services. Finally, for these capacities to be sustained, it also needs to be in a context with a favorable enabling environment; that is appropriate policies and laws as well as adequate institutional framework. This is only when all these pieces are coming together that the desired change will occur and should be sustained.



A complex set of indicators, baselines, and targets to understand

106. The Reviewing Team found that the presentation and documentation of the performance indicators in the project document is rather complex to understand, particularly its logic. As part of the PRF, outcomes and indicators are listed, then baselines, targets and milestones and as the last column outputs and indicators. After review, the targets and milestones are to monitor the output indicators (last column) and not really the outcome indicator (first column). The five (5) outcome indicators (see table 9 above) do not seem to have any targets attached to them and are basically "merged" into the output indicators. However, it was noted that some of them would bring some more qualitative information such as:

- The number and quality of forecasts and drought early warnings for Karakalpakstan region;
- The percentage of vulnerable farmers and pastoralists receiving science-based extension services to promote drought risk reduction among vulnerable farmers and pastoralists
- The percentage of population that have adopted climate resilient conservation agriculture and

water saving measures at the farm level; and

- The percentage of population aware of and practicing well tested, climate resilient agricultural practices under outcome 4.

107. In addition to this cumbersome presentation of the PRF on 5 pages, a Project Results and Resource Framework following the UNDP template presents an additional set of yearly targets on 11 pages. For each of the 15 indicators, yearly targets are set for 2014 to 2019. The result is a lot of targets, which, if there is any delay in implementing the project, would become obsolete or need to be updated to reflect the new implementation timeline.

Indicators are too focus on outputs

108. Nevertheless, once the set of indicators and targets is understood and presented logically in a table such as in table 9, the result is a relatively clear framework to measure the performance of the project at the output level with a set of 15 indicators and their respective targets. The key comments on this framework are that there are no indicators nor targets to measure how the project is progressing toward its objective and its outcomes. It was also noted that at the inception workshops this question was raised and the intent was "*to develop additional indicators for monitoring evidence-based, quantifiable impacts*". The Reviewing Team did not find any follow up to this request. Additionally, the focus of this framework is much on monitoring progress at the output level. As a consequence, the progress reporting of the project does not provide much information on how well the project is progressing towards its outcomes and objective. Based on the progress made at the mid-point of the project, it is difficult to assess how well the project has been progressing toward its objective that is the development of climate change resilience of farming and pastoral communities.

Targets are too ambitious and won't be achieved by the end of the project

109. Finally, the most critical point of this monitoring framework is that most targets are too ambitious. Some key very ambitious targets include: at least 40,000 Dekhan farmers have adopted climate resilient conservation agriculture practices and water saving irrigation practices ….; over 70,000 ha of arid land of Karakalpakstan is covered with saksaul and tamarix plantations ….; 40% of targeted dekhan farmers have established horticulture greenhouses on 20,000 ha of farms; at least 20,000 people organized in at least 10 cooperatives at the Khokimiyat and Makhalla levels ….. The review conducted for this MTR indicates that the strategy to reach these targets is not clear; there is no clear implementation paths in the project document that are convincing that these targets will be achieved by the end of the project. Reaching out to 40,000 dekhan farmers is already a lot to achieve but adding that 40,000 dekhan farmers have adopted adaptation measures could be a large project in itself. The same can be said for each of these targets; the investment needed to build greenhouses on 20,000 ha is huge and one wonder where this capital will come from. Planting 70,000 ha of saksaul and tamarix is no small feat. Establishing 10 cooperatives with a total of 20,000 members is also very ambitious.

110. The project will not meet these targets by May 2020. Yet, the performance of the project is based on the achievement of these targets. They need to be changed to levels that should be achievable. It is recommended to review these targets and come up with a set of targets that is logically more achievable[14].

4.3.6. Reporting

111. Management reports have been produced according to UNDP project management guidelines. They include AWPs that when finalized are endorsed by the PB; quarterly progress reports; and annual PPRs. The Reviewing Team was able to review the 2014, 2015, 2016 and 2017 AWPs, and 2 Project Performance Reports (PPRs): 2014-2015 and 2015-2017. Overall, progress made by the project is being satisfactorily reported, following UNDP and AF project progress reporting guidelines. The AWPs detail the plan of activities to be conducted in the coming year and the PPRs document the progress made.

112. Progress made in these PPRs is measured against each indicator that were reviewed in the previous section. These annual reports include also a review and update of the risks identified during the formulation of

14 As per the AF "*Results Framework and Baseline Guidance – Project-Level*" (page 16): Setting the right targets helps foster an evaluative culture. If targets are unrealistically high and therefore unachievable, integrity and confidence will suffer, and could incite people to conceal or alter data. If targets are too low and easily achievable, credibility could suffer and might achieve less than is possible. Therefore, seek attainable targets that are just out of reach.

the project and the steps taken to mitigate these risks. As discussed in Section 4.4.1, the Reviewing Team found that the initial three (3) risks identified at the outset of the project are not comprehensive; three additional risks were identified and recommended to be added to the risk log and monitored yearly as per the current risk management approach. A brief review of the financial data for the project is also included in these PPRs with the cumulative total expended so far, the expenditures per outcome for the past year and the planned expenditures per output for the upcoming period. They also include a sheet on procurement data listing all contracts signed, the main lessons learned, a results tracker and a sheet on ratings of the progress made by the project completed by PM, the implementing agency (UNDP) and the Regional Technical Advisor (RTA).

113. The ratings given in these PPRs were reviewed by the Reviewing Team. The progress made is measured mostly against each indicator and not really against the expected results of the project. Ratings given in the last PPR 2015-2017 varies from one Marginally Unsatisfactory (MU) to several Highly Satisfactory (HS). The review of these 15 ratings from each responsible entity (3) indicate that it is difficult to assess how well the project is progressing toward its expected outcomes and objective. Nevertheless, overall the Reviewing Team found that these ratings confirm that outcome 1 and 4 are progressing well, outcome 2 is progressing ok and that the progress under outcome 3 is facing difficulties.

114. As presented above, these PPRs also include "*Results Tracker*" reports; a tracking tool of results on AF funded projects that is also an AF reporting requirement. This reporting instrument was reviewed by the Reviewing Team as part of this MTR. This instrument tracks the performance of AF funded projects against key AF indicators. The project implementation team completed this tracking tool in the last PPR 2015-2017. It provides limited information on the project progress and the value of this tool is mostly at the aggregate level of AF funded projects. Nevertheless, it was noted that as, per the recommendation to review the targets of this project (*see Section 4.3.5*), this tracking tool will need to be reviewed/adapted once the new set of targets will be established. Some indicators in this tracking tool will need to be adapted/modified particularly: *Indicator 3.1: Increase in application of appropriate adaptation responses*; and *Core Indicator 5.1: Natural Assets protected or rehabilitated*;

4.3.7. Communications / Knowledge Management

115. From the outset of the project, knowledge management and communication have been at the forefront of the implementation of this AF project. It is part of the *Project Results Framework (PRF)* as a full expected outcome. Outcome #4 is "*Knowledge of climate resilient agricultural and pastoral production systems in arid lands generated and widely available*". It is implemented through three (3) outputs: 4.1: Inventory of all tested agronomic and water saving measures to map out successful practices; 4.2: Analysis and lessons learned for climate resilient agricultural and pastoral production systems in arid lands documented and disseminated through printed and web-based publications; and 4.3: Quarterly farm and pasture land demonstration meetings with participation of national, local authorities, media and communities delivered.

116. As presented in section 4.2.1, under this outcome an information strategy has been developed. It identified tools and methods to disseminate information and knowledge accumulated by the project. So far, five best practices were selected, documented and published. Several meetings/workshops have taken place with communities in the Karakalpakstan region promoting climate change adaptation measures. Out of a total budget for this outcome of USD 273,400, USD 87,764 (57.5%) has been spent to the end of September 2017.

117. The review conducted for this MTR reveals that it is good to have knowledge management/ communication "embedded" in the strategy (PRF) of the project. It is part of the expected results of the AF project and it is monitored through the M&E system in place which measures the performance of the project. With its information strategy, the project is now equipped with tools and methods to collect, structure, package and disseminate knowledge on climate change adaptation measures adapted to the Karakalpakstan region. This is a critical feature of the project when considering that some targets are to reach out to a large number of communities in the region. The recommended review of the project to focus more on communities and their adoption of adaptation measures made by this MTR should also include a review of activities implemented under this outcome #4. Currently, activities under this outcome are focusing a lot on raising awareness, which is a good first step in the promotion of adaptation measures but these activities should also focus more adopting these measures particularly through appropriate training activities focusing on "*how to ….*".

4.4. Sustainability

118. This section discusses how sustainable project achievements should be over the long-term. It includes a review of the management of risks and specific risks such as financial risk, socio-economic risks, institutional framework and governance risks, and environmental risks.

4.4.1. Management of Risks and Assumptions

119. Project risks were identified at the formulation stage and documented in the project document; including the mitigation measures for each identified risk. It is a list of three (3) anticipated risks, which are presented in the table below as well as their respective mitigation responses.

Table 10: List of Risks and Mitigation Measures Status

Project Risks	Rating	Mitigation Measures at formulation stage	Mitigation Measures as of May 2017 (from PPR)
1. Reluctance of farmers or pastoralists to depart from over-irrigation and overutilization of inputs approach towards climate resilient conservation agriculture	Low	• The project takes a step-by-step approach and identifies "lead" farmers who have proven to be open to experimentation and have already demonstrated innovation. Selected demonstration farmers will provide evidence of benefits derived from low input and high output conservation agriculture and water saving methods. This will inspire and motivate neighboring farmers to adopt the same practices. Evidence of increased productivity and decreased losses during the dry seasons will be closely monitored and demonstrated.	• The risk was mitigated through number of knowledge sharing and best practice demonstration events conducted by the project. At least 160 farmers (20% of women) attended the three field hands-on workshops, within which they familiarized with land laser leveling demonstrations/trainings conducted at 500 ha of lands located in the project pilot districts (Kanlikul, Chimbay and Takhtakupir). Agro conservation and water saving practices were piloted at two project pilot districts (Kegeyli and Chimbay). 247 farmers and householders (205 women) raised their awareness about agro conservation and water saving technologies applicable at local level through workshops conducted at four project pilot districts (Kegeyli, Chimbay, Takhtakupir and Kanlikul). 100 stakeholders (10% of women) of line ministries, Committee of Women and farmers attended two thematic demo workshops and increased their understanding about annual project targets and results achieved. Members of local communities in two project pilot districts (Muynak and Takhtakupir) familiarized with piloting sand stabilization and pasture reclamation at 80 ha of lands. 132 representatives (51% of women) of local communities learned about landscape adaptation measures that can increase their resilience to droughts and other climate change impacts through two series of field workshops held in three project pilot districts (Muynak, Takhtakupir and Kanlikul).
2. Repeated drought	High	• Whereas the repeated occurrence of drought is a serious probability, the project has been designed to help ensure resilience at household level thanks to water saving methods and implementation of conservation agriculture techniques and forage production, etc.	• The Drought Early Warning System (DEWS) previously designed for run-off forming zones and applicable for different river basins was upgraded for the downstream of the Amu Darya river. Currently, early warning about low water availability or drought can be issued for the regions located at the downstream of the Amu Darya river with lead-time of 3 months. Upgraded DEWS provides quantitative and qualitative water availability assessments published in the project's quarterly bulletins that are targeted at central and regional government decision-makers, farmers and householders. Thus, the given risk was reduced during the reporting period and it is expected to be further reduced during the next reporting period due to wider dissemination of DEWS products among end-users in the project pilot districts in Karakalpakstan.

Project Risks	Rating	Mitigation Measures at formulation stage	Mitigation Measures as of May 2017 (from PPR)
3. Low level of cooperation between executing institutions	Medium	• The project operates at multiple levels and therefore will require the leadership of Uzhydromet and the Ministry of Agriculture and Water Resources. Close cooperation will be assured through a high-level Steering Committee jointly hosted by Uzhydromet and the Ministry of Agriculture and Water Resources.	• Within the two demo workshops, a high-level meeting (at sub-national level) was conducted to strengthen partnership with and ownership of all stakeholders involved in implementation of the project activities in Karakalpakstan. Meeting was chaired by the Chairman and Deputy Chair of the Council of Ministers of Karakalpakstan. Moreover, the two Inter-Agency Working Groups (national and sub-national levels) established by the particular government resolutions to strengthen coordination and cooperation of all national partners involved in the Adaptation Project were supplemented with five initiative groups (each group includes 5-7 persons representing the rural communities) in each project pilot district. Those are aimed at strengthening the interaction between the national and sub-national executing agencies, and therefore significantly reduce the risk.

Source: Project Document and PPRs.

120. The project team has been monitoring these risks and reporting the current status of these risk in each Project Performance Report (PPR). No risks have been added to the risk log (3) identified during the formulation of the project. In the PPR 2014-15 and PPR 2015-17, risk assessments rated the three risks as respectively: low, high and low in both reports.

121. The review of these risks reveals that there are not comprehensive enough. They cover some good risk areas but the nature of this type of project has additional risks such as a change in political support for promoting and integrating adaptation measures into the agricultural sector; insufficient capacity development and practical know-how within state institutions and local authorities by the end of the project to allow sustainability of project achievements; and implement legislative changes in a timely manner that are required to develop an adequate enabling environment for the promotion and use of adaptation measures. It is recommended to add these three (3) risks to the risk log of the project and reported yearly through the PPRs.

122. In the meantime, despite these risks, the Reviewing Team found that the project is progressing well and that through adaptive management, these risks are constantly mitigated; hence decreasing the chance that these risks would materialized. For instance, the risk of a "*low level of cooperation between executing institutions*" has been mitigated with the establishment of a national and a regional inter-agency working groups as well as five "*initiative groups*" (one in each selected district). These gatherings provide excellent platforms to improve coordination and cooperation among agencies, exchange information, and link the national and regional agencies with communities. Overall and as discussed in section 4.1.1, the project enjoyed a good support from the government, benefiting also from the current government strategy to reform its agricultural sector.

4.4.2. Sustainability Strategy

123. When it comes to sustainability of project achievements, the sustainability strategy discussed in the project document is not fully convincing; it varies greatly among the four outcomes of the project. For achievements under outcome 1, it was stated that sustainability will be ensured through the integration of achievements within government funded institutions such as Uzhydromet, Ministry of Agriculture and Ministry of Water Resources, local administration, and Council of Farmers, dekhan farms and rural households. The physical infrastructure financed with AF funds, together with the development of capacity for the use of this equipment and the interpretation of data, complemented through a Climate Field School network to be established in the project area to promote public awareness of the value of weather information and of climate trends were identified as key elements to ensure the sustainability of project achievements under outcome 1. The Reviewing Team confirms that this approach is good and should ensure the sustainability of these achievements. Currently the equipment had been procured and some training took place. However, more training will be needed along the collection of weather data to develop weather forecasts and climate change models. Additionally, the network of climate field schools needs to be established soon to promote the importance of weather data and how to access it. Analyses of the channels of communication (smartphones,

internet, radio, TV channels, world of mouth etc.) used by end users would also be needed to identify the effective way to deliver weather data to end users: farmers, dekhan farms and household plots users.

124. Under outcome 2, the sustainability strategy is less obvious. It is planned that the financial support to build horticulture greenhouses for farmers who could not previously afford them will increase crop productivity - even under a scenario of declining average rainfall - thus ensuring livelihoods for targeted local farms. Also, the strategy is to ensure the sustainability of well tested farm-based adaptation measures for replication and upscale through the development of a legal and regulatory framework. Overall, it is anticipated that piloted/ demonstrated adaptation measures (e.g. conservation agriculture, improved irrigation and drainage, fodder production, etc.) will bring greater productivity and drought preparedness capacities and that on-farm demonstrations of adaptation measures will stimulate uptake of the successful adaptation practices. It is true that demonstrations will contribute to a potential uptake by beneficiaries. However, it could be said that this is a "passive" strategy that is because of the demonstrations, beneficiaries should adopt these measures. Unfortunately, it is often not the case; the "*buy-in*" process following demonstrations is difficult and far from certain. If the project is closing before any significant uptake by beneficiaries, the chance of adoption of these measures, and, therefore, sustain the achievements under this outcome will be greatly diminished. The project needs to start focusing now on this uptake of adaptation measures by looking into developing an "*outreach model*". On one hand, the project has been developing a "*catalog of adaptation measures*" and on the other hand beneficiaries throughout the Karakalpakstan region are asking for help in bettering their livelihoods and adapt to climate change effects; to link both, an "*outreach model*" needs to be developed. What system and how can it bring adaptation measures to beneficiaries in a sustainable way? An extension services may be the answer but it needs to be sustainable over the long term.

> Local knowledge and traditions need to be taken into account. A good example was given to the Reviewing Team by one interviewee:
>
> *Historically Uzbek people leave in communities and if a farmer in a community has a piece of equipment such as a tractor, the whole community would benefit from it. It is a complicated process to introduce sustainable practices at the community level, however if the community adopts a practice, which ends up as a success story, the practice may scale up to the other communities very fast.*

125. Under outcome 3, it was anticipated that communities will be organized in cooperatives, then communities will volunteer to plant saksaul and tamarix and benefits from the services and products from these trees. Similar to the strategy for outcome 2, sustainability is far from certain. As per the project document, it is hoped that demonstrations of concrete farming and pasture management methods that provide evidence of bringing benefits of greater food security and resilience to droughts will trigger replication and hence contribute to the sustainability of these achievements. It is true in theory but experiences show that this approach, often does not work alone if other measures are not implemented such as types of incentives to implement these new measures. Overall, best practices from other UNDP and/or donor projects need to be reviewed to assess/test any existing community-based sustainable land management practices and land reclamation practices in Uzbekistan and in the Central Asia Region.

4.4.3. Financial risk to Sustainability

126. When reviewing the sustainability of project achievements, financial risk is an area where some questions related to the long-term sustainability of project achievements need some attention. The project supports Uzhydromet to improve its hydro-meteorological monitoring infrastructure, which will serve as the backbone for a drought early warning system as well as providing better weather data to develop weather forecasts and models to assess climate change impacts. The project is also piloting adaptation measures such as a suite of adaptive multi-benefit agronomic practices for crops and livestock, ranging from conservation agriculture through horticultural greenhouses and pasture management; and finally, it seeks to reduce the impacts of higher temperatures and lower rainfall on crop productivity through large scale plantations of trees. Within this strategy, the project has been or will be procuring meteorological and hydrological equipment and equipment to implement several pilots such as tractors, graders, laser levelling technologies, greenhouse equipment, etc. Despite that these technologies and practices are optimal for a region like Karakalpakstan to adapt to climate change, they still require resources to maintain them over the long term and possibly to replace them further in the future. It is the case for Uzhydromet, which needs to maintain and replace its equipment, but also for communities to be able to use the required equipment to implement some adaptation measures such as the laser land levelling practice. Currently and as discussed in other sections of this report, this review

confirms the government's commitment to reform and adapt its agricultural sector to climate change. It is a priority for the government and so far, it is committed to the change process in this area. Agriculture is an important economic sector for Uzbekistan and particularly for Karakalpakstan; it is expected that the government will continue to implement this priority and support it with the necessary resources, including resources to scale-up the project achievements to other parts of Uzbekistan.

4.4.4. Socio-economic risk to Sustainability

127. The review indicates that there is no socio-economic risk to sustainability. In the worst-case scenario, if the project has very limited impact, it should not affect negatively the project beneficiaries and the "*business as usual*" scenario should continue. Nevertheless, the project is progressing adequately and it is expected that the implementation of these adaptation measures should have a positive socio-economic impact on the livelihood of farmers and, overall, on communities in the region, particularly dekhan farms and small land plot owners. With the introduction of new sustainable agricultural practices, land should be better conserved and productivity is expected to increase. As a result, livelihood of rural communities is expected to be better over time.

4.4.5. Institutional framework and governance risk to Sustainability

128. As discussed previously in this report, the project is a direct response to the government priority to reform the agriculture sector, adapt to climate change and develop sustainably the region of Karakalpakstan. The project is "rooted" in national priorities, and it is particularly aligned with the "*State Programme for the Development of the Aral Sea Region 2017-2021*", which was recently adopted. It is also well aligned with a set of recently approved Decrees to strengthen/reform the agriculture sector including the Council of Farmers, the development of an extension service and the efficient use of land by farmers, dekhan farms and small land plot owners. It is anticipated that the government will continue in this direction in the foreseeable future and that the project will be able to institutionalize its achievements, which are expected to be scaled-up in other arid parts of Uzbekistan.

129. One area that requires a particular attention from the implementation team and also the PB during the remaining period of implementation is the monitoring of the extension service pilots. Three extension services are already operating and two more should be established soon. It is important for the sustainability of the project to assess these pilots, learn lessons and identify best practices but also focus on institutionalizing the best extension practices coming from these pilots in Karakalpakstan to sustain an "*outreach model*" promoting adaptation measures to farmers, dekhan farmers and small land plot owners.

4.4.6. Environmental risk to Sustainability

130. The review did not find any environmental risks to the sustainability of project outcomes. The project supports the implementation of adaptation measures to climate change, including climate resilient farming practices and landscape level adaptation measures for soil conservation and moisture retention. Ultimately, the achievements of the project that is "*to develop climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan*", should have a medium and long-term positive environmental impacts over the natural resources in the project area. The implementation of adaptation measures should render the management of these arid ecosystems more sustainable over the long-term, including the reclaim of abandoned/pasture lands.

Annex 1: Выводы и Рекомендации

Below is the translation of both sections 1.2 and 1.3 of Chapter 1.

Выводы

Стратегия проекта

a) Проект является очень актуальным для Узбекистана, в частности после последних реформ в сельском хозяйстве.

Проект АФ тесно связан с национальными приоритетами, национальной политикой и правовыми документами, в частности приоритетами, определенными в прошлом году (пять приоритетных областей 2017-2021 годов и программа Аральского моря 2017-2021 гг.), а также с реформами в секторе сельского хозяйства, которые осуществляются в настоящее время в соответствии с несколькими ключевыми правительственными постановлениями, принятыми в 2017 году. Проект предоставляет ресурсы для устранения барьеров, выявленных в начале проекта, и должен способствовать развитию устойчивости к изменению климата сельского хозяйства и пастбищных сообществ в Каракалпакстане. Он также тесно связан с матрицей результатов АФ. Проект является частью партнерства ООН с правительством Узбекистана, которое в рамках РПООНПР поддерживает национальные приоритеты, определенные правительством Узбекистана уделяя особое внимание наиболее уязвимым группам населения Узбекистана.

b) Проект имеет сложную стратегию, где отсутствует ясность и логичность в понимании как запланированные действия охватят ожидаемые результаты и, в частности, цели.

Несмотря на то, что общая стратегия является четким ответом на национальные приоритеты при анализе всей логической «цепочки результатов». Действия ➔ Результаты ➔ Цели ➔ Планируемый результат, МРР быстро становится сложной, особенно при рассмотрении результатов, индикаторов и целей, установленных для оценки прогресса проекта. Результаты, в большинстве случаев, были идентифицированы как конечные продукты, в некоторых случаях - цели, встроенные в результаты. Учитывая амбициозные цели и нынешний контекст сельскохозяйственного сектора в Узбекистане, трудно понять, как результаты активностей, поддерживаемые проектом, достигнут этих целей. Документ проекта не обеспечивает проектную команду эффективным «предварительным планом» для руководства реализацией проекта.

Прогресс в достижении результатов

c) Реализация проекта идет неравномерно.

Проект продвигается вперед, и у него осталось еще 2,5 года. Достигнут значительный прогресс в рамках компонентов 1 и 4, и ожидается, что он достигнет своих целей в рамках этих двух компонентов. Однако в отношении компонентов 2 и 3 основное внимание в настоящее время уделяется пилотированию и составлению «каталога адаптационных мер», адаптированных к Каракалпакстану, и в меньшей степени «**модель распространения и внедрения адаптационных мер»** для охвата тысяч фермеров и общин в регионе. В то же время, при рассмотрении ресурсов проекта и нынешнего контекста, лучшее, что может сделать проект в рамках этих двух компонентов, - это продемонстрировать адаптационные меры и пилотировать «**модель распространения и внедрения адаптационных мер»**», ориентированную на фермеров, фермеров-дехкан и мелких владельцев земельных участков и способствующей принятию мер по адаптации к изменению климата. Цели по компонентам 2 и 3 слишком амбициозны и не будут достигнуты.

d) «Модель распространения и внедрения адаптационных мер», которую планируется создать в рамках результата 1.4 для охвата 40 000 фермеров-дехкан, является недостаточной.

Логика стратегии для охвата фермерских и скотоводческих общин в основном осуществляется через выход 1.4, который заключается в создании наукоемких консультационных услуг для распространения знаний среди фермерских общин. Однако этот результат имеет очень ограниченный общий бюджет в размере 58 000 долларов США (1,2% от гранта АФ). Этого ресурсов недостаточно, для того, чтобы

обеспечить жизнеспособную и хорошо действующую систему консультационных услуг, которая должна «связать» с фермерскими и скотоводческими общинами в Каракалпакстане.

e) В рамках проекта рассматриваются четыре барьера, ограничивающие развитие сельского хозяйства в Каракалпакстане и адаптацию этого сектора к изменению климата.

Устранение выявленных барьеров имеет решающее значение для развития сельскохозяйственного сектора в Каракалпакстане, а также для успеха проекта, который должен способствовать адаптации к изменению климата. Проект является своевременным и вносит свой вклад в устранение этих барьеров. Чем эффективнее будет проект, тем меньше барьеров будет ограничивать развитие сельскохозяйственного сектора в регионе. Предполагается, что во второй части проекта проект будет использовать свой «каталог мер по адаптации» и будет взаимодействовать с фермерскими и скотоводческими общинами для содействия принятию этих мер.

Реализация проекта и адаптивное управление

f) Механизмы управления адекватны, но структура управления должна быть адаптирована для более активного присутствия в Каракалпакстане в ближайшем будущем.

Механизмы управления для реализации проекта адекватны, включая хорошую поддержку со стороны Узгидромета, национального партнера-исполнителя. Проект реализуется частично из ташкентского офиса (компоненты 1 и 4) и частично из офиса в Нукусе (компоненты 2 и 3). Однако по мере увеличения темпов мероприятий в компонентах 2 и 3 необходимо пересмотреть структуру управления проектом и обеспечить более широкое присутствие проекта в Каракалпакстане. Это изменение в управлении обсуждалось на уровне координационного совета проекта, и было принято решение о формальном изменении позиции руководителя проекта Совместной программы ООН, базирующейся в Нукусе, на совместную позицию, включающую обязанности по координации деятельности в рамках компонентов 2 и 3. Это изменение должно быть реализовано в ближайшие месяцы.

g) Проект создал хорошую структуру для привлечения заинтересованных сторон.

После надлежащих консультаций с заинтересованными сторонами, которые были предприняты во время разработки проекта, была разработана хорошая структура для привлечения заинтересованных сторон в ходе реализации проекта. Это включает в себя 2 межведомственные рабочие группы, которые были официально созданы правительственными резолюциями - одна из которых базируется в Ташкенте и одна в Нукусе - и 5 инициативных групп - по одному в каждом пилотном районе. Эта структура обеспечивает проект прекрасным механизмом, позволяющим связывать национальных лиц, принимающих решения, с региональными и районными лицами, принимающими решения, и в конечном итоге с фермерскими и скотоводческими общинами.

h) Процесс получения выплат гранта АФ медленный, и предполагается, что грант не будет израсходован к концу проекта, в мае 2020 года.

По состоянию на конец сентября 2017 года общая сумма расходов по проекту составляет около 1,06 млн. долл. США, что составляет лишь 21% от гранта АФ по сравнению с 56% от срока реализации проекта. До настоящего времени 54% расходов было затрачено на компонент 1, 14% на компонент два, 4% на компонент три, 8% на компонент 4 и 20% на управление проектом. По сравнению с бюджетом для каждого компонента, низкие расходы компонентов 2 и 3 подтверждают ограниченный прогресс в этих областях с соответственно 11% и 2,5% от их бюджета, израсходованного до сих пор. В то же время расходы на управление проектом составляют 20% от общего объема израсходованных до настоящего времени средств; это высокий процент, и его необходимо будет уменьшить на втором этапе реализации. Наконец, при оценке «*коэффициента затрат проекта*» есть сомнения, что оставшийся грант АФ (3,93 долл. США) будет израсходован в течение оставшихся 32 месяцев реализации; ежемесячные расходы проекта необходимо увеличить в пять раз.

i) Существует сложный набор индикаторов и целевых показателей для оценки эффективности проекта и некоторые амбициозные цели, которые не могут быть достигнуты к концу проекта.

Набор 15 индикаторов и целевых показателей для оценки эффективности проекта является сложным для понимания и амбициозными; они дополняются большим набором годовых целей. Набор 15 индикаторов мониторят проект на уровне результатов и фокусируются на количественных

результатах. Однако вклад проекта может не поддаваться измерению только в строгом количественном выражении. Сочетая количественные и качественные показатели, система МиО также предоставила качественные результаты, измеряющие развитие потенциала. Тем не менее, структура МиО обеспечивает соответствующую информацию для мониторинга и отчетности. Ключевая задача в этой области заключается в том, что некоторые цели слишком амбициозны, и не будут достигнуты проектом, к маю 2020 года. Неясно, как проект может охватить до 40 000 фермеров-дехкан, которые примут адаптационные меры; инвестировать в теплицы, покрывающие 20 000 га; создать 10 кооперативов с общим количеством 20 000 членов; и засадить растениями 70 000 га.

j) Управление знаниями и коммуникация «встроены» в стратегию проекта; это предоставляет инструменты и методы для распространения знаний среди заинтересованных сторон / бенефициаров.

Управление знаниями и коммуникация являются частью ожидаемых результатов проекта АФ. Таким образом, ведется мониторинг через систему МиО, которая оценивает эффективность проекта. Благодаря своей информационной стратегии проект теперь оснащен инструментами и методами сбора, структурирования, распределения и распространения знаний о мерах адаптации к изменению климата, адаптированных к Каракалпакстану. Он предоставляет проектной команде инструменты для управления знаниями и коммуникации с заинтересованными сторонами и бенефициарами. В настоящее время мероприятия в рамках этого результата сосредоточены на повышении осведомленности об адаптационных мерах. Предполагается, что по мере того, как проект должен охватить сельское хозяйство и скотоводческие общины, деятельность в рамках этого компонента будет в большей степени ориентирована на принятие этих мер, в частности посредством соответствующих мероприятий по развитию потенциала.

Устойчивость

k) Достижения проекта должны поддерживаться в долгосрочной перспективе.

Стратегия устойчивого развития, представленная в проектном документе, не является вполне убедительной; особенно в отношении достижений в рамках компонентов 2 и 3. Она в основном опирается на потенциальное понимание бенефициарами мер по адаптации, которые демонстрируются в пяти районах. Однако, несмотря на не столь убедительное понимание этих передовых методов для тиражирования достижений проекта, те достижения, которые были продемонстрированы в пяти пилотных районах, должны быть устойчивыми в долгосрочной перспективе. Внедрение этих передовых методов должно улучшить средства к существованию этих сельскохозяйственных и скотоводческих общин; следовательно, они должны поддерживаться бенефициарами этих пилотируемых мер. Проблема заключается в возможности тиражирования и расширения этих адаптационных мер после завершения проекта.

Рекомендации

На основе результатов этого среднесрочного обзора предлагаются следующие рекомендации.

Рекомендация 1: Рекомендуется проанализировать новую политику в области сельского хозяйства и законодательства, а также ключевые программы, связанные с проектом.

Вопросы для рассмотрения

Недавно правительство приняло новые указы о реформе сельскохозяйственного сектора, в частности, укрепление его услуг по распространению знаний, а также роли и обязанности совета фермеров, который был изменен на совет фермеров, дехкан и владельцев приусадебных хозяйств. Кроме того, в прошлом году правительство приняло «Стратегию дальнейшего развития 2017-2021 гг.», а также в 2017 году правительство Республики Каракалпакстан утвердило «Государственную программу развития Аральского моря 2017-2021 гг.». Эти новые правительственные инструменты имеют решающее значение для реализации проекта. Успех проекта в основном основан на принятии адаптационных мер фермерскими и скотоводческими общинами в Каракалпакстане. Это требует охвата многих сельскохозяйственных и скотоводческих общин. Основной подход к этому - создание устойчивых услуг по распространению знаний и развитие потенциала совета фермеров, дехкан и

владельцев приусадебных хозяйств, правительственного органа, связывающего политиков с фермерами/землепользователями. Необходимо провести полный обзор этих новых инструментов, чтобы оценить, как стратегия проекта соответствует этой новой структуре, и как наилучшим образом проект может поддержать эти реформы в контексте утвержденной стратегии проекта, одобренной АФ.

Рекомендация 2: Рекомендуется пересмотреть стратегию проекта, чтобы подчеркнуть необходимость разработки и пилотирования «*модель распространения и внедрения адаптационных мер*».

Вопросы для рассмотрения

В первой части проекта основное внимание уделялось пилотированию и составлению «*каталога адаптационных мер*», адаптированных к региону Каракалпакстан, и в меньшей степени разработке «**модель распространения и внедрения адаптационных мер»** для охвата тысяч фермеров и общин в область. Тем не менее, 63% гранта АФ было выделено на принятие климатически устойчивых методов ведения сельского хозяйства фермерскими и скотоводческими общинами и осуществление мер по адаптации на ландшафтном уровне среди местных общин для сохранения почв и сохранения влажности. Одна из стратегий, направленная на охват этих общин, - это результат 1.4, которая заключается в создании наукоемких консультационных услуг для распространения знаний для фермерских общин. Однако этот результат имеет очень ограниченный общий бюджет в размере 58 000 долларов США (1,2% от гранта AF). Этих ресурсов недостаточно, для того, чтобы обеспечить жизнеспособную и хорошо действующую систему консультационных услуг, охватывающую тысячи фермеров, которая принесет изменения в этих сельских районах и улучшит их средства к существованию.

Рекомендуется полностью пересмотреть стратегию проекта и переориентировать проект, основываясь на первоначальных достижениях в рамках результата 1.4 для разработки расширенной «**модель распространения и внедрения адаптационных мер»** - варианта консультационных услуг, который будет пилотироваться при поддержке проекта в сотрудничестве с соответствующими национальными, региональными и местными учреждениями в пяти пилотных районах. Рекомендация заключается в том, чтобы продвинуть развитие услуг по распространению знаний в ядре деятельности проекта. По мере внедрения модели необходимо развивать потенциал, включая обсуждение с соответствующими учреждениями для институционализации таких услуг[15] с соответствующими ресурсами, мандатами, навыками и знаниями для персонала и т.д. В конечном итоге цель будет заключаться в создании устойчивых услуг для распространения знаний в качестве связующего звена между политикой и законодательством и фермерами (практикующими), а также в качестве механизма повышения эффективности фермерских хозяйств при адаптации к изменению климата и повышении уровня жизни сельского хозяйства и скотоводческих общин. В рамках разработки устойчивых услуг для распространения знаний, также необходимо включить анализ финансовых потребностей для реализации некоторых из этих адаптационных мер, особенно для фермеров-дехкан. В связи с текущим развитием в Узбекистане, механизмы микрофинансирования следует рассматривать как варианты финансирования.

Рекомендация 3: Рекомендуется рассмотреть любую существующую практику устойчивого землепользования на уровне общин и механизмы содействия этой практике; в частности, любой опыт распространения знаний в Узбекистане и в Центральной Азии.

Вопросы для рассмотрения

Важная часть проекта, направленная на то, чтобы сельское хозяйство и скотоводческие общины приняли меры по адаптации, - это создание услуг по распространению знаний. Это происходит благодаря такой услуге, которая может способствовать этим мерам при надлежащей подготовке и передачи знаний. Это также механизм воспроизводимости и расширение масштабов использования

15 A good discussion on “understanding extension” can be found on the FAO website at http://www.fao.org/docrep/t0060e/T0060E03.htm#Extension%20and%20education and on the “role of extension services” on the IFAD website at https://www.ifad.org/topic/resource/tags/rainfed_agriculture/2088038

этих адаптационных мер для окружающих сообществ и, возможно, в других местах в Узбекистане. Недавний правительственный указ (№ PP-3318 от 10 октября 2017 года) укрепил роль совета фермеров в качестве механизма оказания всесторонней поддержки фермерам, дехканским хозяйствам и домашним землевладельцам в области «*производства, переработки, хранения и продажи сельскохозяйственной продукции, включая внедрение современной агротехнической деятельности*». Согласно этому указу, совет фермеров становится ключевой организацией для развития сельскохозяйственного сектора в Узбекистане. В то же время проект поддерживает разработку наукоемких консультационных услуг для распространения знаний среди этих же фермеров, чтобы помочь им в принятии адаптационных мер. В настоящее время работают 2 консультационных центра, и при поддержке проекта создаются еще 3. В этом контексте рекомендуется провести обзор существующей практики устойчивого землепользования на уровне общин для фермеров и скотоводов в Узбекистане и Центральной Азии, а также провести обзор передовой международной практики, в том числе обзор механизмов - в основном услуг по распространению знаний – для продвижения этой практики в сообществах.

Рекомендация 4: Рекомендуется рассмотреть и пересмотреть некоторые целевые показатели до более достижимого уровня.

Вопросы для рассмотрения

Большинство целей слишком амбициозны, включая некоторые цели, встроенные в результаты, такие как результаты 2.1, 2.2, 2.3 и 3.1. К этим амбициозным целям относятся: не менее 40 000 фермеров-дехкан, адаптируют и начнут применять устойчивые к изменению климата методы ведения сельского хозяйства и водосберегающие методы орошения на 80 000 га; более 70 000 га засушливых земель Каракалпакстана будут покрыты плантациями саксаула и тамариска; 40% целевых фермеров-дехкан создадут теплицы на 20 000 га ферм; по меньшей мере, 20 000 человек организуются в 10 кооперативов на уровне хокимията и махалли. Неясно, каким образом проект может достичь этой цели, особенно если учесть, что нет существующих служб распространения знаний для их укрепления и что в рамках реализации стратегии, проект также должен установить такие услуги. Ожидается, что проект не достигнет этих целей к 2020 году.

На данный момент дилемма, стоящая перед проектом, заключается в том, чтобы решить, как в широких масштабах охватить сельское хозяйство и пастушьи общины в Каракалпакстане, чтобы повысить их осведомленность о необходимости адаптации к изменению климата и о том, что они могут с этим сделать, или сосредоточиться больше на демонстрации и пилотированию службы распространения знаний в небольших районах, таких как нынешние пять пилотных районов, с целью максимального увеличения числа фермерских и пастушьих общин, принимающих эти меры в этих областях; т. е. в отличие от более широкого подхода к повышению уровня осведомленности, но меньше о принятии (процессе изменения) мер по адаптации. Рекомендуется внимательно рассмотреть эти цели в стратегическом контексте проекта, продвигаясь вперед, в частности, сосредоточиться на разработке / пилотировании службы распространения (см. Рекомендацию № 1) - и определить соответствующие и достижимые цели к концу проекта. Если цели будут пересмотрены, некоторые показатели в «Отслеживании результатов» PPR также нуждаются в пересмотре.

Рекомендация 5: Рекомендуется продление проект до срока продления гранта АФ.
Вопросы для рассмотрения

Вопросы для рассмотрения

По состоянию на конец сентября 2017 года общая сумма расходов по проекту составляет около 1,06 млн. долл. США, что составляет лишь 21% от гранта АФ, при этом, прошло 56% срока реализации проекта. Средний темп расхода денежных средств в первые 40 месяцев реализации составил 26 420 долл. США в месяц, оставшийся бюджет составляет 3,93 млн. долл. США, сомнительно, что грант АФ будет полностью израсходован к концу проекта в мае 2020 года; для этого ежемесячные расходы проекта должны увеличиться в пять раз. Эта низкая выплата частично связана с тем, что этот проект

столкнулся с двумя критическими задержками: один на начальном этапе из-за более длительного, чем ожидалось, времени для подписания проектного документа; а вторая задержка оценивается в 6 месяцев в связи с задержкой передачи второго транша гранта АФ ПРООН.

В то же время в соответствии с «Политикой Адаптационного фонда перед задержкой проекта / программы (с поправками, внесенными в октябре 2017 года)» - статья 3.1, дата начала проекта - это первый день начального семинара проекта (решение B.18 / 29), 22 октября 2014 года. Кроме того, согласно статье 14 этого документа: исполнительный орган может запросить продление проекта от первоначальной даты завершения на срок до 18 месяцев, если (i) не требуется никаких дополнительных средств; (ii) первоначально утвержденный объем проекта не изменится; и (iii) организация предоставляет причины и обоснования для продления. В соответствии со статьей 13, продление проекта должно быть одобрено Советом АФ и что любой запрос на дополнительное время должен быть выполнен путем подачи запроса на продление времени с использованием шаблона автофокусировки, прилагаемого к политике. Наконец, согласно статье 12, любые задержки следует сообщать через PPR.

Учитывая вышеизложенное, рекомендуется просмотреть дату начала в соответствии с политикой автофокусировки и сообщить об этом в следующем PPR. Также рекомендуется продлить проект на срок от 6 до 9 месяцев, что соответствует задержкам внедрения, которые произошли до сих пор. Однако точную продолжительность продления времени следует решать ближе к дате окончания проекта. Предлагается рассмотреть временные рамки в последнем квартале 2018 года, когда будет представлена более подробная финансовая информация, включая оставшийся бюджет из гранта АФ, и представить заявку на продление срока действия АФ к ноябрю 2018 года.

Рекомендация 6: Рекомендуется поддержать «Узгидромет» в предоставлении метеорологической информации, прогнозов и моделей изменения климата, доступных для сельского хозяйства и пастушьих общин.

Вопросы для рассмотрения

Проект добивается значительных успехов в рамках компонента 1; он способствует укреплению потенциала «Узгидромета» путем инвестирования в лучшее оборудование для сбора метеорологических данных, а также путем поддержки организации в разработке прогноза погоды и моделей для оценки воздействия изменения климата. По данным Всемирной метеорологической организации, инвестиции в эту область приносят социально-экономические выгоды; все экономические исследования последовательно заключаются с соотношением выгод и затрат, превышающим единицу. Тем не менее, также ясно, что эти услуги не приносят экономической и социальной ценности, если пользователи не получают выгоды от решений в результате предоставленной информации. Поэтому, чтобы оптимизировать инвестиции, сделанные в этой области, рекомендуется, чтобы проект фокусировался на предоставлении информации о погоде, прогнозах и моделях изменения климата для фермерских и пастбищных сообществ (пользователей). Может быть необходимо провести технико-экономическое обоснование для оценки потребностей пользователей, связанных с информацией о погоде, и оценить потенциальные уязвимые места, которые могут существовать, чтобы сделать эту информацию доступной, например, публичный доступ к этому типу информации.

Рекомендация 7: Рекомендуется провести гендерный анализ в пяти пилотных районах.

Вопросы для рассмотрения

Гендерные вопросы не были включены в план этого проекта, и никакие конкретные разделы не обсуждают гендерные аспекты проекта в проектном документе. В то же время проектная команда сообщает данные с разбивкой по полу в PPR. Один из показателей касается непосредственно женщин: «Установлено количество созданных садоводческих теплиц управляемые женщинами», но количественная цель для этого показателя не установлена. Учитывая, что проект нацелен на различные группы фермеров (коммерческих фермеров, фермеров-дехкан и мелких владельцев земельных участков), рекомендуется, чтобы проект проводил гендерный анализ в пилотных областях, чтобы лучше понимать гендерные проблемы и гендерные проблемы в фермерских и пастушьих сообществах.

Рекомендуется провести этот анализ раньше, а не позднее, чтобы предоставить важную информацию для развития теплиц, как это ожидалось в стратегии проекта.

Рекомендация 8: Рекомендуется организовать «Открытые дни фермеров» для пилотов, чтобы объединить национальные и региональные лица принимающие решения, и фермеров / скотоводов, для наблюдения за результатами работы на местах и обмена знаниями.

Вопросы для рассмотрения

Успех компонентов 2 и 3 будет в значительной степени зависеть от способности проекта охватить сельское хозяйство и пастушьи общины. Кроме того, проекту крайне важно наращивать потенциал таких организаций, как Узгидромет, Совет фермеров, местных органов властей, а также руководителей из министерств на региональном и национальном уровнях. В дополнение к семинарам и другим учебным мероприятиям рекомендуется организовать «Открытые дни фермеров», где лица, принимающие решения, местные власти, исследователи, представители Совета фермеров и, конечно же, фермеры и скотоводы объединяются для посещения, наблюдения и обмена знаниями в этой области. Это отличный подход к получению знаний, укреплению доверия между заинтересованными сторонами, что также должно привести к более широкому применению мер по адаптации к изменению климата.

Рекомендация 9: Рекомендуется адаптировать структуру управления, обеспечивающую большее присутствие проекта в Каракалпакстане в соответствии с недавним решением Координационного совета проекта.

Вопросы для рассмотрения

Несмотря на существующие адекватные механизмы управления для реализации проекта с офисом в Ташкенте с упором на компоненты 1 и 4, и вторым офисом в Нукусе, ориентированным на компоненты 2 и 3, ожидается, что в регионе Каракалпакстан потребуется больше присутствия и усилий проекта в ближайшем будущем. Предпринять дополнительные действия в регионе, в частности, обратиться к фермерам и скотоводам. Координационный совет проекта уже рассмотрел этот вопрос и принял решение изменить текущую позицию руководителя проекта Объединенной программы ООН на объединенную позицию, относящуюся также к обязанности по координации деятельности по компонентам 2 и 3 этого проекта. Команда среднесрочной оценки подтверждает это решение и рекомендует принять это решение как можно скорее.

Рекомендация 10: Рекомендуется добавить еще три риска в список рисков проекта и сообщать о статусе рисков ежегодно.

Вопросы для рассмотрения

Обзор журнала рисков показал, что риски, выявленные в начале проекта, недостаточно полны. Они охватывают существенные риски, но характер этого типа проекта сопряжен с дополнительными рисками. Рекомендуется добавить три (3) риска в журнал рисков проекта и сообщать о соответствующем статусе ежегодно через PPR. Существуют следующие риски:

- изменение политической поддержки для продвижения и интеграции мер адаптации в сельскохозяйственный сектор - (низкий);
- Недостаточное развитие потенциала и практические ноу-хау в ключевых государственных учреждениях и местных органах власти к концу проекта, чтобы обеспечить устойчивость достижений проекта - (средний);
- Внедрение законодательных изменения своевременно, которые необходимы для разработки благоприятных условий для поощрения и использования адаптационных мер - (низкий).

Рекомендация 11: Рекомендуется внимательно следить за расходами на управление проектом, чтобы достичь цели утвержденного бюджета АФ на 7,2% к концу проекта.

Вопросы для рассмотрения

По состоянию на конец сентября 2017 года соотношение затраты на управление проекта над общими расходами составляет около 20%. Это очень много, и его необходимо снизить до более приемлемого уровня. Рекомендуется внимательно отслеживать это соотношение и внедрять меры, чтобы довести это соотношение до более приемлемого уровня с целью достижения 7,2% от общих расходов к концу проекта в соответствии с утвержденным бюджетом АФ.

1.1. Таблица рейтингов MTR и сводная таблица достижений.

Ниже приведена таблица рейтингов, запрошенная в ТЗ. Он включает требуемые критерии эффективности, рассчитанные в соответствии с рейтинговой шкалой, представленной в приложении 9 к настоящему отчету. Вспомогательная информация также предоставляется в этом отчете в соответствующих разделах.

Таблица 2: Рейтинг Среднесрочной оценки и сводная таблица достижений

Действия	Рейтинг Среднесрочной оценки	Описание достижения
Стратегия проекта	Н/П	
Прогресс в достижении результатов		
Достижение цели:	**MS**	Ожидается, что будет достигнута большая часть конечных целей проекта, но со значительными недостатками.
Достижение компонента 1:	**S**	Ожидается, что компонент достигнет большей части целевых показателей конца проекта с незначительными недостатками.
Достижение компонента 2:	**MS**	Ожидается, что компонент достигнет большей части целевых показателей конца проекта, но со значительными недостатками.
Достижение компонента 3:	**MS**	Ожидается, что компонент достигнет большей части целевых показателей конца проекта, но со значительными недостатками.
Достижение компонента 4:	**S**	Ожидается, что компонент достигнет большей части целевых показателей конца проекта с незначительными недостатками.
Внедрение проекта и адаптивное управление	**S**	Внедрение большинства из семи компонентов - механизмов управления, планирования работы, финансов и софинансирования, систем мониторинга и оценки на уровне проектов, взаимодействия с заинтересованными сторонами, отчетности и коммуникаций - ведет к рациональному и эффективному осуществлению проектов и адаптивному управлению, за исключением тех, которые подлежат корректировочным действиям.
Устойчивость	**ML**	Умеренные риски, но ожидается что, по крайней мере, некоторые компоненты будут устойчивыми в связи с прогрессом в достижении результатов по компонентам в Среднесрочной оценке.

Важное примечание. Рейтинги, приведенные выше в разделе «Прогресс на пути к результатам», основаны на результатах среднесрочной оценки, выполненной отталкиваясь от амбициозных целей, определенных в проектном документе (см. Обсуждение этих целей в разделе 4.3.5).

Annex 2: Project Expected Results and Planned Activities

The table below was compiled from the list of expected results and planned activities as anticipated in the project document. It is a succinct summary of what is expected from this project.

***Project Objective*: To develop climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan.**

Intended Outcomes	Expected Outputs	Budget per Outcome	Indicative Activities
Outcome 1 – Institutional and technical capacity and mechanisms for drought risk management and early warning developed	***Output 1.1:*** Upgraded observation and monitoring infrastructure (e.g. 2 Doppler water meters, automatization of 8 met stations) for effective data receiving and transmission.	**AF: $1,257,000**	*(i)* Conduct site identification field reviews considering the presence of existing observation infrastructure and its density, topography, population size, land use and social vulnerability; *(ii)* Specification and purchase of 8 Automated Meteorological Stations (AMS) and 2 water gauges with Doppler meters (WG); *(iii)* Installation, operational training and maintenance of AMS and WG at sites identified; *(iv)* Design the data acquisition, control and dissemination system (DACDS) to provide continuous data exchange between the newly installed equipment and existing systems; *(v)* Installation and training on the DACDS.
	Output 1.2: Multi-modal platform for integration of data flow from hydro-meteorological observation to end users.		*(i)* Consultations with project host institution and representatives of target communities to define user climate information needs, define the most suitable format and modalities of dissemination of the information; *(ii)* Based on consultations, design data integration platform, specify and purchase of related equipment, including the operation and maintenance cost, institutional set up, procedures and budgetary allocations to secure a continuous functioning; *(iii)* Installation of multi-modal system for integration of data flow from hydro-meteorological observation to end users including decision makers, training and maintenance arrangements secured by fully embedding the system in Uzhydromet departments institutional mandate and work plans.
	Output 1.3: Drought early warning mechanisms (indicators, gauges, warning distribution mechanisms etc.) to minimize impacts of droughts in place and functional.		*(i)* Stakeholder consultations (through workshops) to define needs of multiple users (land users, line ministries) on varied information requirements, including delivery mechanisms, timing and frequency; *(ii)* Based on stakeholder consultation and technical considerations, finalize the agreements with Uzhydromet, local authorities and other key stakeholders about the locations, equipment and dissemination outlets for drought early warning; *(iii)* Installation and operationalization of drought early warning system.
	Output 1.4: Science-based extension services for subsistence dekhan farmers established to assist in farm-based climate risk management, including sub-		*(i)* Stakeholder consultations regarding institutional options and institutional status of Climate Field School / Extension (CFS/E) mechanism to be created, priority needs and delivery options; *(ii)* Establishment of CFS/E through use of national experts. This will comprise a head

Intended Outcomes	Expected Outputs	Budget per Outcome	Indicative Activities
	district, community level Climate Field School/Extension (CFS /E) for direct outreach to farmers and localized training in adaptation practices.		office and 15 local (district) subsidiaries. These will be based on the institutions such as Water User Associations, Farmers Associations, Basin Water Management offices, Mahallas, depending on local capacities and conditions; *(iii)* Preparation of the extension service package, a comprehensive content and dissemination mechanisms of CFS/E materials reflecting user needs.
Outcome 2 – Climate resilient farming practices established on subsistence dekhan farms of Karakalpakstan	***Output 2.1:*** 40,000 Dekhan farmers have adopted climate resilient conservation agriculture practices (e.g. low till, mixed cropping, fodder production, and residue crop soil covering adopted measures adopted at 80,000 ha of dekhan farms).	**AF: $1,377,400**	*(i)* At least 4 consultation workshops with the farmers, pastoralists and research institutes to determine the most suitable mix of crops and practices (such as low till, mixed cropping, fodder production and crop residue application) of drought resilience options in the selected sites; *(ii)* At least 8 Farm-based demonstrations of conservation agriculture and productive grazing arrangement organized with technical guidance provided by the national experts (5 experts for 3 months each) from the research institutes and direct engagement of targeted farmers and pastoralists; *(iii)* Preparation and dissemination of conservation agriculture guide for long term climate resilient agro-pastoral systems in the context of Karakalpakstan.
	Output 2.2: 40,000 Dekhan farmers have adopted water saving irrigation practices (e.g. land leveling, well management, furrow and drip irrigation systems adopted at 80,000 ha dekhan farms to improve farm-level drainage and minimize salinization).		*(i)* At least 4 participatory surveys conducted with farmers, local authorities, research institutes and associations to determine and agree on the right mix of irrigation and drainage technologies and methods in the target locations; *(ii)* Filed-based demonstration of improved irrigation and drainage practices / technologies (e.g. land leveling, water efficient irrigation infrastructure, etc.) with a direct guidance from the national experts (3 experts at 2.5 months each); *(iii)* Field-based demonstration of pasture-land well rehabilitation and management for improved water supply for pastures and livestock, ensuring greater mobility and maintenance of vegetation; *(iv)* Preparation, publication and dissemination of technical support material on improved irrigation and drainage based on lessons learned from the project.
	Output 2.3: 40% of targeted dekhan farmers have established horticulture greenhouses on 20,000 ha of farms to minimize impacts of droughts on farm production.		*(i)* Community consultation and mobilization to introduce range of horticultural greenhouse options are affordable and help in drought preparedness; *(ii)* Technical design (engineering parameters, siting, construction, operation) and business plan developed to ensure effectiveness and efficiency of the greenhouse in the context of Karakalpakstan for a long term sustainability and high replication potential; *(iii)* Preparation of publication of good practices in greenhouse operation, (focusing on the issues of low cost, low input, low energy and high output options; creating the micro climate for crop protection and mitigation of adverse impacts of drought) customized to the needs of Dekhan farmers and the condition in Karakalpakstan.
	Output 2.4: Legal and regulatory framework put in place to support well		*(i)* Policy and legislative review to identify the critical gaps in promoting the climate compatible adaptation practices in agriculture;

Intended Outcomes	Expected Outputs	Budget per Outcome	Indicative Activities
	tested farm-based adaptation measures for replication and upscale.		*(ii)* Desk study to review the best international legal and regulatory practice that promotes farm-based approaches to drought management and incentivizes conservation agriculture and water efficient irrigation systems; *(iii)* At least 8 stakeholder consultations conducted by the national and international experts to prepare a mix of normative acts and regulatory instruments that can be adopted in the legislative context of Uzbekistan for an effective integration of identified adaptation priorities in agriculture (specifically in the context of Karakalpakstan); *(iv)* Preparation and adoption of a set of legal acts and regulations to incentivize conservation agriculture and climate resilient agricultural practices and technologies in Uzbekistan and implementation of procedures leading towards the enactment.
Outcome 3 - Landscape level adaptation measures for soil conservation and moisture retention improves climate resilience of 1,042,094 ha of land.	***Output 3.1:*** Local saksaul and tamarix plantations deliver sand stabilization and soil desalinization function for 1,042,094 ha of farm and adjacent farmlands, based on wind models and comprehensive landscape rehabilitation and management plan.	**AF: $1,723,900**	*(i)* Wind model outputs generated to develop a short and long term replantation and landscape rehabilitation plan; monitor sand stabilization and soil desalinization as a result of project activities, based on wind models, as well as to provide an empirical basis for the landscape scale integrated rehabilitation plan; *(ii)* Establish an expert team to develop a comprehensive plan on sand stabilization and landscape rehabilitation for improved land productivity and resilience of adjacent farm and pasturelands; *(iii)* Participatory process with local land users, representatives of land management institutions and technical parties to facilitate inputs into full landscape rehabilitation plan incorporating both on and off farm areas; *(iv)* Community mobilization and involvement of technical team to organize and implement on-the-ground work on replantation of sand stabilizing plants and windbreaks; *(v)* Preparation and dissemination of publications on good practice in sand stabilization based in part on project experience.
	Output 3.2: Community management scheme for planting and maintenance established as community employment scheme for landscape level adaptation.		*(i)* Undertake stakeholder consultations, including through workshops, to assess community participation and labor allocations per task and travel logistics; *(ii)* Hiring of national experts to provide technical assistance in development of a community management scheme and management arrangement; *(iii)* Organization of a mobile community and expert monitoring team with respect to maintenance work on the plantations and documenting the impacts; *(iv)* Publication of good practice material on community management of plantations for adaptive objectives in dry environments.
	Output 3.3: Cooperative management for landscape rehabilitation and management established to enhance community control and ownership arrangements.		*(i)* International good practice in community cooperative resource management reviewed and applied in the project context and management options identified; *(ii)* Establish farm-based and community cooperative management system for maintenance of the plantations through the local Mahallas (community organizations); *(iii)* Hold stakeholder consultations, including workshops, with target communities, to identify options and best model for community management system; *(iv)* Preparation and publishing of good practice material on the establishment of

Intended Outcomes	Expected Outputs	Budget per Outcome	Indicative Activities
			community co-management systems.
Outcome 4 - Knowledge of climate resilient agricultural and pastoral production systems in arid lands generated and widely available	***Output 4.1:*** Inventory of all tested agronomic and water saving measures to map out successful practices.	**AF: $273,400**	*(i)* International experience surveyed, synthesize proven practices of potential value to the project beneficiaries as part of adaptive strategies; *(ii)* Technical assistance provided in inventorying promising water efficient agronomic measures in the field; *(iii)* Publication of results of inventories, both initial inventory as well as updated inventory based in part on the experiences to be gained over the course of the project.
	Output 4.2: Analysis and lessons learned for climate resilient agricultural and pastoral production systems in arid lands documented and disseminated through printed and web-based publications.		*(i)* Analysis and documentation of lessons learned for climate resilient agricultural and pastoral production systems; *(ii)* Publication and dissemination of lessons learned on climate resilient agricultural and pastoral systems relevant to drier areas of Central Asia.
	Output 4.3: Quarterly farm and pasture land demonstration meetings with participation of national, local authorities, media and communities delivered.		*(i)* Quarterly meetings held, covered by the media, in order to highlight successful adaptive practices for replication; *(ii)* Preparation of media footages and advocacy materials to demonstrate field-based results of tested adaptation measures.

Source: Project Document

Annex 3: MTR Terms of Reference

UNITED NATIONS DEVELOPMENT PROGRAMME
TERMS OF REFERENCE / INDIVIDUAL CONTRACT

1. Position Information	
Position Title:	International Consultant/Evaluator and National Consultant/Evaluator
Type:	2 Individual Contracts
Project Title/Department:	UNDP/AF Project "*Developing climate resilience of farming communities in the drought prone parts of Uzbekistan*"/Sustainable Development Cluster
Duration of the service:	25 and 44 working days respectively during the period from 3 November – 7 December 2017
Duty station:	Home-based with one mission to Tashkent, Uzbekistan, including visits to Nukus city and 5 project pilot districts (Kegeyli, Kanlikul, Chimbay, Takhtakupir and Muynak) in the Republic of Karakalpakstan
Reports to:	Leader of Sustainable Development Cluster, UNDP Uzbekistan

2. Introduction

This is the Terms of Reference (TOR) for the Mid-term Evaluation (MTE) of the UNDP supported Adaptation Fund financed project titled "Developing climate resilience of farming communities in the drought prone parts of Uzbekistan" (PIMS#5002) implemented through the UNDP Uzbekistan, which is to be undertaken in 2017. The project started on the 26 May 2014 and is in its third year of implementation). This TOR sets out the expectations for this MTE.

3. Project Background Information

The frequent occurrence of drought, an overall trend of aridification and projected drying of Uzbekistan's poorest region, Karakalpakstan, place serious strains on water availability, is causing a decline in land productivity and in turn of the ability of rural poor to withstand the current and future impacts of climate change. Adaptation measures are increasing and becoming more integrated within wider policy frameworks. Integration, while it remains a challenge, streamlines the adaptation planning and decision-making process and embeds climate sensitive thinking in existing and new institutions and organizations. This can help avoid mismatches with the objectives of development planning, facilitates the blending of multiple funding streams and reduces the possibility of maladaptive actions.

The overall project **objective** is to develop climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan to address adaptation needs arise when the anticipated risks or experienced impacts of climate change require action to ensure the safety of populations and the security of assets.

With a view to achieving this objective the following interconnected **outcomes** will be achieved:

1. The institutional and technical capacity for drought management and early warning developed
2. Climate resilient farming practices established on subsistence dekhkan farms
3. Landscape level adaptation measures for soil conservation and moisture retention improves climate resilience of over 1,000,000 ha of land
4. Knowledge of climate resilient agricultural and pastoral production systems in arid lands generated and widely available

The project offices are located in Tashkent, Uzbekistan within the national partner implementing agency, i.e. the Center of Hydro-meteorological Services under the cabinet of Ministers of the Republic of Uzbekistan (Uzhydromet); and in Nukus, Karakalpakstan, as the pilot region, within the regional subdivision of Uzhydromet. Project implements its adaptation activities in the five pilot districts - Kegeyli, Kanlikul, Chimbay, Takhtakupir and Muynak – as the most vulnerable to climate change impacts in Karakalpakstan.

The project helps the central, regional and local governments and vulnerable farmers and pastoralists to withstand the current and future impacts of climate change: aridification and projected drying of this region that places serious strains on water availability resulting in a decline in land productivity.

The project duration is 6 years (May 2014 – May 2020) with the total budget of USD5,190,878 (USD4,990,878 of Adaptation Fund and USD200,000 of UNDP).

4. Objectives of the MTE

The MTE will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTE will also review the project's strategy, its risks to sustainability.

5. MTE Approach & Methodology

The MTE must provide evidence based information that is credible, reliable and useful. The MTE team will review all relevant sources of information including documents prepared during the preparation phase: Project Document, ESSP, Project Inception Report, PPRs, Finalized AF focal area Tracking Tools, Project Board meeting minutes, Financial and Administration guidelines (SOP), project budget revisions, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review.

The MTE team is expected to follow a collaborative and participatory approach[16] ensuring close engagement with the Project Team, government counterparts, the UNDP Country Office, UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTE.[17] Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to key partners at the central level (Tashkent, Uzbekistan) and at sub-national level (Nukus and 5 pilot districts in Karakalpakstan); executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTE team is expected to conduct field missions to Karakalpakstan, including the project sites in Nukus and 5 project pilot districts (Kegeyli, Kanlikul, Chimbay, Takhtakupir and Muynak) in the Republic of Karakalpakstan.

The final MTE report should describe the full MTE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

6. Detailed Scope of the MTE

The MTE team will assess the following four categories of project progress.

i. Project Strategy

Project design:

16 For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results, 05 Nov 2013.

17 For more stakeholder engagement in the M&E process, see the UNDP Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 3, pg. 93.

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design.
- If there are major areas of concern, recommend areas for improvement.

Results Framework/Log-frame:

- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively.

ii. Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the log-frame indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as "Not on target to be achieved" (red).

Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project Strategy	Indicator[18]	Baseline Level[19]	Level in 1st PIR (self-reported)	Midterm Target[20]	End-of-project Target	Midterm Level & Assessment[21]	Achievement Rating[22]	Justificatio for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

Indicator Assessment Key

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved

18 Populate with data from the Logframe and scorecards
19 Populate with data from the Project Document
20 If available
21 Colour code this column only
22 Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

In addition to the progress towards outcomes analysis:

- Compare and analyse the AF Results Tracker within the PPR at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

iii. Project Implementation and Adaptive Management

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the AF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?

- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil AF reporting requirements (i.e. how have they addressed poorly-rated PPRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

iv. Sustainability

- Validate whether the risks identified in the Project Document, PPRs, and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the AF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

Conclusions & Recommendations

The MTE team will include a section of the report setting out the MTE's evidence-based conclusions, in light of the findings.[23]

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary.

Rec #	Recommendation	Entity Responsible
A	*(State Outcome 1)* (Outcome 1)	
A.1	**Key recommendation:**	
A.2		
A.3		
B	*(State Outcome 2)* (Outcome 2)	
B.1	**Key recommendation:**	
B.2		
B.3		
C	*(State Outcome 3)* (Outcome 3), etc.	
C.1	**Key recommendation:**	
C.2		
C.3		
D	Project Implementation & Adaptive Management	
D.1	**Key recommendation:**	
D.2		
D.3		
E	Sustainability	
E.1	**Key recommendation:**	
E.2		
E.		

The MTE team should make no more than 15 recommendations total.

Ratings

The MTE team will include its ratings of the project's results and brief descriptions of the associated achievements in a *MTE Ratings & Achievement Summary Table* in the Executive Summary of the MTE report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

Table. MTE Ratings & Achievement Summary Table for UNDP/AF project "Developing climate resilience of farming communities in the drought prone parts of Uzbekistan"

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
Project	(rate 6 pt. scale)	

23 Alternatively, MTE conclusions may be integrated into the body of the report.

Implementation & Adaptive Management		
Sustainability	(rate 4 pt. scale)	

Options for site visits should be provided in the Inception Report.

7. Timeframe

The total duration of the MTE will be approximately 5 weeks starting from 3 November 2017, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY
24 August 2017	Application closes
29 September 2017	Select MTE Team
3 November 2017	Prep the MTE Team (handover of Project Documents)
7 November 2017, 3 days	Document review and preparing MTE Inception Report
14 November 2017, 5 days	Finalization and Validation of MTE Inception Report - latest start of MTE mission
20-28 November 2017, 9 days	MTE mission: stakeholder meetings, interviews, field visits
27 November 2017	Mission wrap-up meeting & presentation of initial findings- earliest end of MTE mission
2 December 2017, 4 days	Preparing draft report
13 December 2017, 2 days	Incorporating audit trail from feedback on draft report/Finalization of MTE report
15 December 2017	Preparation & Issue of Management Response
N/A	(optional) Concluding Stakeholder Workshop (not mandatory for MTE team)
19 December 2017	Expected date of full MTE completion

8. Mid-Term Evaluation Deliverables

#	Deliverable	Description	Timing	Responsibilities
1	**MTE Inception Report**	MTE team clarifies objectives and methods of Midterm Evaluation	No later than **2 weeks** before the MTE mission	MTE team submits to the Commissioning Unit (Sustainable Development Cluster) and project management
2	**Presentation**	Initial Findings	End of MTE mission	MTE Team presents to project management and the Commissioning Unit (Sustainable Development Cluster)
3	**Draft Final Report**	Full report (using guidelines on content outlined in Annex B) with annexes	Within **3 weeks** of the MTE mission	Sent to the Commissioning Unit (Sustainable Development Cluster), reviewed by RTA, Project Coordinating Unit, GEF OFP
4	**Final Report***	Revised report with audit trail detailing how all received comments have (and have not) been	Within **1 week** of receiving UNDP comments on draft	Sent to the Commissioning Unit (Sustainable Development Cluster)

		addressed in the final MTE report		

*The final MTE report must be in English. If applicable, the Commissioning Unit (Sustainable Development Cluster) may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

9. MTE Arrangement

The principal responsibility for managing this MTE resides with the Commissioning Unit. The Commissioning Unit for this project's MTE is the Sustainable Development Cluster in the UNDP Country Office.

The Commissioning Unit (Sustainable Development Cluster) will contract the consultants, and ensure the timely provision of per diems and travel arrangements **within the country** for the MTE team. The Project Team will be responsible for liaising with the MTE team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

10. Team Composition

A team of two independent consultants will conduct the MTE - one team leader (with experience and exposure to projects and evaluations in other regions globally) and one team expert from Uzbekistan the country of the project. The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The selection of consultants will be aimed at maximizing the overall "team" qualities in the following areas: *(max amount of points related to the technical evaluation)*

- Recent experience with result-based management evaluation methodologies – 10%;
- Experience applying SMART targets and reconstructing or validating baseline scenarios 5%;
- Competence in adaptive management, as applied to CCA – 10%;
- Experience working with the AF evaluations – 10%;
- Experience working in Central Asia and/or CIS regions – 10%;
- Work experience in relevant technical areas for at least 10 years – 5%;
- Demonstrated understanding of issues related to gender and CCA; experience in gender sensitive evaluation and analysis – 5%;
- Excellent communication skills -5%;
- Demonstrable analytical skills – 5%;
- Project evaluation/review experiences within United Nations system will be considered an asset;
- A Master's degree in climate change, environment protection, natural resources management, or other closely related field – 5%.

11. Payment Modalities and Specifications

10% of payment upon approval of the final MTE Inception Report
30% upon submission of the draft MTE report
60% upon finalization of the MTE report

12. Application Process[24]

Recommended Presentation of Proposal:

24 Engagement of the consultants should be done in line with guidelines for hiring consultants in the POPP: https://info.undp.org/global/popp/Pages/default.aspx

a) **Letter of Confirmation of Interest and Availability** using the template[25] provided by UNDP;
b) **CV** and a **Personal History Form** (P11 form[26]);
c) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc.), supported by a breakdown of costs, as per template attached to the Letter of Confirmation of Interest template. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

Applicants are requested to apply online through the UNDP website at http://www.undp.uz. Application shall be submitted by indicated deadline. Incomplete applications or applications received after the closing date will not be given consideration. Application should contain a current and complete C.V. with indication of the e-mail and phone contact. Shortlisted candidates will be requested to submit a price offer indicating the total cost of the assignment (including daily fee, per diem and travel costs). Incomplete applications will be excluded from further consideration.

Criteria for Evaluation of Proposal: Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP's General Terms and Conditions will be awarded the contract.

UNDP is an equal opportunity employer. Qualified female candidates, people with disabilities, and minorities are highly encouraged to apply. UNDP Gender Balance in Management Policy promotes achievement of gender balance among its staff at all levels.

13. Signatures - Post Description Certification		
Incumbent *(if applicable)* Name	Signature	Date
Climate Change Specialist, SDC **Rano Baykhanova** Name / Title	Signature	Date
Leader of Sustainable Development Cluster **Mr. Hurshid Rustamov** Name / Title	Signature	Date

25 https://intranet.undp.org/unit/bom/pso/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx

26 http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

TOR ANNEX A: List of Documents to be reviewed by the MTE Team

1. UNDP Project Document
2. UNDP Environmental and Social Screening results
3. Project Inception Report
4. All Project Performance Reports (PPR's)
5. Quarterly progress reports and work plans of the various implementation task teams
6. Audit reports
7. Finalized AF Tracking Tools at CEO endorsement and midterm – TT for CCA
8. Oversight mission reports
9. All monitoring reports prepared by the project
10. Financial and Administration guidelines used by Project Team

The following documents will also be available:

11. Project operational guidelines, manuals and systems
12. UNDP country/countries programme document(s)
13. Minutes of the Board Meetings of UNDP/AF Project "Developing climate resilience of farming communities in the drought prone parts of Uzbekistan", and other meetings (i.e. Project Appraisal Committee meetings)
14. Project site location maps

TOR ANNEX B: Guidelines on Contents for the Midterm Evaluation Report[27]

i. Basic Report Information *(for opening page or title page)*
- Title of UNDP supported AF financed project
- UNDP PIMS# and AF project ID#
- MTE time frame and date of MTE report
- Region and countries included in the project
- GEF Operational Focal Area/Strategic Program
- Executing Agency/Implementing Partner and other project partners
- MTE team members
- Acknowledgements

ii. Table of Contents

iii. Acronyms and Abbreviations

1. Executive Summary *(3-5 pages)*
- Project Information Table
- Project Description (brief)
- Project Progress Summary (between 200-500 words)
- MTE Ratings & Achievement Summary Table
- Concise summary of conclusions
- Recommendation Summary Table

2. Introduction *(2-3 pages)*
- Purpose of the MTE and objectives
- Scope & Methodology: principles of design and execution of the MTE, MTE approach and data collection methods, limitations to the MTE
- Structure of the MTE report

3. Project Description and Background Context *(3-5 pages)*
- Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope
- Problems that the project sought to address: threats and barriers targeted
- Project Description and Strategy: objective, outcomes and expected results, description of field sites (if any)
- Project Implementation Arrangements: short description of the Project Board, key implementing partner arrangements, etc.
- Project timing and milestones
- Main stakeholders: summary list

4. Findings *(12-14 pages)*

4.1 Project Strategy
- Project Design
- Results Framework/Log-frame

4.2 Progress Towards Results
- Progress towards outcomes analysis
- Remaining barriers to achieving the project objective

4.3 Project Implementation and Adaptive Management
- Management Arrangements
- Work planning
- Finance and co-finance
- Project-level monitoring and evaluation systems
- Stakeholder engagement
- Reporting
- Communications

4.4 Sustainability
- Financial risks to sustainability
- Socio-economic to sustainability

27 The Report length should not exceed *40* pages in total (not including annexes).

- Institutional framework and governance risks to sustainability
- Environmental risks to sustainability

5. Conclusions and Recommendations *(4-6 pages)*

5.1 Conclusions

- Comprehensive and balanced statements (that are evidence-based and connected to the MTE's findings) which highlight the strengths, weaknesses and results of the project

5.2 Recommendations

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

6. Annexes

- MTE TOR (excluding TOR annexes)
- MTE evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
- Example Questionnaire or Interview Guide used for data collection
- Ratings Scales
- MTE mission itinerary
- List of persons interviewed
- List of documents reviewed
- Co-financing table (if not previously included in the body of the report)
- Signed UNEG Code of Conduct form
- Signed MTE final report clearance form
- *Annexed in a separate file:* Audit trail from received comments on draft MTE report
- *Annexed in a separate file:* Relevant midterm tracking tools (*METT, FSC, Capacity scorecard, etc.)*

TOR ANNEX C: Midterm Evaluation Evaluative Matrix Template

Evaluative Questions	Indicators	Sources	Methodology
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
(include evaluative question(s))	(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)	(i.e. project documents, national policies or strategies, websites, project staff, project partners, data collected throughout the MTE mission, etc.)	(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)
Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?			
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			

TOR ANNEX D: UNEG Code of Conduct for Evaluation Consultants[28]

Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

MTE Consultant Agreement Form

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

Name of Consultant:

_____

Name of Consultancy Organization (where relevant):

_____

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

Signed at _____ *(Place)* on _____ *(Date)*

Signature: _____

28 www.undp.org/unegcodeofconduct

TOR ANNEX E: MTE Ratings

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as "good practice".
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as "good practice".
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Evaluation
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

TOR ANNEX F: MTE Report Clearance Form
((to be completed by the Commissioning Unit and UNDP-GEF RTA and included in the final document)

Midterm Evaluation Report Reviewed and Cleared By:

Commissioning Unit

Name: _____

Signature: _____ Date: _____

UNDP-GEF Regional Technical Advisor

Name: _____

Signature: _____ Date: _____

Annex 4: Code of Conduct for Evaluators and Agreement Form

Reviewers / Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders‟ dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Mid-Term Review Consultant Agreement Form

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

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

Signed in Ottawa on November 16, 2017

Signature: _____

Name of Consultant: ***Jean-Joseph Bellamy***

Signed in Tashkent on December 22, 2017

Signature: _____

Name of Consultant: ***Saida Yusupova***

Annex 5: Review Matrix

The evaluation matrix below served as a general guide for the review. It provided directions for the review; particularly for the collection of relevant data. It was used as a basis for interviewing people and reviewing project documents. It also provided a basis for structuring the review report as a whole.

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
Review criteria: Relevance *- How does the project relate to the main objectives of the AF, UNDP and to the development of climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan?*				
Is the Project relevant to the AF objectives?	▪ How does the Project support the related strategic priorities of the AF? ▪ Were AF criteria for project identification adequate in view of actual needs?	▪ Level of coherence between project objectives and those of the AF	▪ Project documents ▪ AF policies and strategies ▪ AF web site	▪ Documents analyses ▪ Interviews with government officials and other partners
Is the Project relevant to UNDP objectives?	▪ How does the project support the objectives of UNDP in this sector?	▪ Existence of a clear relationship between project objectives and country programme objectives of UNDP	▪ Project documents ▪ UNDP strategies and programme	▪ Documents analyses ▪ Interviews with government officials and other partners
Is the Project relevant to Uzbekistan's climate resilience and development objectives in general?	▪ Does the project follow the government's stated priorities? ▪ How does the Project support the development of climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan? ▪ Does the project address the identified problem? ▪ How country-driven is the Project? ▪ Does the Project adequately take into account national realities, both in terms of institutional framework and programming, in its design and its implementation? ▪ To what extent were national partners involved in the design of the Project?	▪ Degree to which the project support the development of climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan ▪ Degree of coherence between the project and nationals priorities, policies and strategies; particularly related to the development of climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan ▪ Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities? ▪ Level of involvement of Government officials and other partners into the project ▪ Coherence between needs expressed by national stakeholders and UNDP criteria	▪ Project documents ▪ National policies, strategies and programmes ▪ Key government officials and other partners	▪ Documents analyses ▪ Interviews with government officials and other partners
Does the Project address the needs of target beneficiaries?	▪ How does the project support the needs of target beneficiaries? ▪ Is the implementation of the project been inclusive of all relevant Stakeholders? ▪ Are local beneficiaries and stakeholders adequately involved in project formulation and implementation?	▪ Strength of the link between project expected results and the needs of target beneficiaries ▪ Degree of involvement and inclusiveness of beneficiaries and stakeholders in project design and implementation	▪ Beneficiaries and stakeholders ▪ Needs assessment studies ▪ Project documents	▪ Document analysis ▪ Interviews with beneficiaries and stakeholders
Is the Project internally	▪ Was the project sourced through a demand-driven approach? ▪ Is there a direct and strong link between project expected results (Result and Resources Framework) and the project design (in	▪ Level of coherence between project expected results and internal project design logic	▪ Program and project documents	▪ Document analysis ▪ Key Interviews

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
coherent in its design?	terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources etc.)? ▪ Is the length of the project conducive to achieve project outcomes?	▪ Level of coherence between project design and project implementation approach	▪ Key project stakeholders	
How is the Project relevant in light of other donors?	▪ With regards to Uzbekistan, does the project remain relevant in terms of areas of focus and targeting of key activities? ▪ How does the AF help to fill gaps (or give additional stimulus) that are crucial but are not covered by other donors?	▪ Degree to which the project was coherent and complementary to other donor programming in Uzbekistan ▪ List of programs and funds in which future developments, ideas and partnerships of the project are eligible?	▪ Other Donors' policies and programming documents ▪ Other Donor representatives ▪ Project documents	▪ Documents analyses ▪ Interviews with other Donors
Future directions for similar Projects	▪ What lessons have been learnt and what changes could have been made to the project in order to strengthen the alignment between the project and the Partners' priorities and areas of focus? ▪ How could the project better target and address priorities and development challenges of targeted beneficiaries?		▪ Data collected throughout evaluation	▪ Data analysis
***Review criteria: Effectiveness** – To what extent have the expected outcomes and objectives of the project been achieved?*				
How is the Project effective in achieving its expected outcomes?	▪ How is the project being effective in achieving its expected outcomes? ○ Institutional and technical capacity and mechanisms for drought risk management and early warning developed ○ Climate resilient farming practices established on subsistence dekhkan farms of Karakalpakstan ○ Landscape level adaptation measures for soil conservation and moisture retention improves climate resilience of 1,042,094 ha of land. ○ Knowledge of climate resilient agricultural and pastoral production systems in arid lands generated and widely available	▪ New methodologies, skills and knowledge ▪ Change in capacity for information management: knowledge acquisition and sharing; effective data gathering, methods and procedures for reporting. ▪ Change in capacity for awareness raising ○ Stakeholder involvement and government awareness ○ Change in local stakeholder behavior ▪ Change in capacity in policy making and planning to improve climate resilience of farming and pastoral communities in the drought prone zones: ○ Policy reform ○ Legislation/regulation change ○ Development of national and local strategies and plans ▪ Change in capacity in implementation and enforcement ○ Design and implementation of risk assessments ○ Implementation of national and local strategies and action plans through adequate institutional frameworks and their maintenance ○ Monitoring, evaluation and promotion of pilots ▪ Change in capacity in mobilizing resources ○ Leverage of resources ○ Human resources ○ Appropriate practices ○ Mobilization of advisory services	▪ Project documents ▪ Key stakeholders including UNDP, Project Team, Representatives of Gov. and other Partners ▪ Research findings	▪ Documents analysis ▪ Meetings with main Project Partners ▪ Interviews with project beneficiaries

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
How is risk and risk mitigation being managed?	▪ How well are risks and assumptions being managed? ▪ What is the quality of risk mitigation strategies developed? Are they sufficient? ▪ Are there clear strategies for risk mitigation related with long-term sustainability of the project?	▪ Completeness of risk identification and assumptions during project planning ▪ Quality of existing information systems in place to identify emerging risks and other issues? ▪ Quality of risk mitigations strategies developed and followed	▪ Atlas risk log ▪ Project documents and evaluations ▪ UNDP, Project Staff and Project Partners	▪ Document analysis ▪ Interviews
Future directions for similar Projects	▪ What lessons have been learnt for the project to achieve its outcomes? ▪ What changes could have been made (if any) to the formulation of the project in order to improve the achievement of project's expected results? ▪ How could the project be more effective in achieving its results?		▪ Data collected throughout evaluation	▪ Data analysis
***Review criteria: Efficiency** – Has the project been implemented efficiently, cost-effectively and in-line with international and national norms and standards?*				
Is Project support channeled in an efficient way?	▪ Is adaptive management used or needed to ensure efficient resource use? ▪ Does the Project Results Framework and work plans and any changes made to them used as management tools during implementation? ▪ Are the accounting and financial systems in place adequate for project management and producing accurate and timely financial information? ▪ How adequate is the M&E framework (indicators & targets)? ▪ Are progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes? ▪ Is project implementation as cost effective as originally proposed (planned vs. actual) ▪ Is the leveraging of funds (co-financing) happened as planned? ▪ Are financial resources utilized efficiently? Could financial resources have been used more efficiently? ▪ How is RBM used during project implementation? ▪ Is the project decision-making effective? ▪ Does the government provide continuous strategic directions to the project's formulation and implementation? ▪ Have these directions provided by the government guided the activities and outcomes of the project? ▪ Are there an institutionalized or informal feedback or dissemination mechanisms to ensure that findings, lessons learned and recommendations pertaining to project formulation and implementation effectiveness were shared among project	▪ Availability and quality of financial and progress reports ▪ Timeliness and adequacy of reporting provided ▪ Level of discrepancy between planned and utilized financial expenditures ▪ Planned vs. actual funds leveraged ▪ Cost in view of results achieved compared to costs of similar projects from other organizations ▪ Adequacy of project choices in view of existing context, infrastructure and cost ▪ Quality of RBM reporting (progress reporting, monitoring and evaluation) ▪ Occurrence of change in project formulation/ implementation approach (i.e. restructuring) when needed to improve project efficiency ▪ Existence, quality and use of M&E, feedback and dissemination mechanism to share findings, lessons learned and recommendation on effectiveness of project design. ▪ Cost associated with delivery mechanism and management structure compare to alternatives ▪ Gender disaggregated data in project documents	▪ Project documents and evaluations ▪ UNDP, Representatives of Gov. and Project Staff ▪ Beneficiaries and Project partners	▪ Document analysis ▪ Key Interviews

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
	stakeholders, UNDP staff and other relevant organizations for ongoing project adjustment and improvement? ▪ Does the project mainstream gender considerations into its implementation?			
How efficient are partnership arrangements for the Project?	▪ Is the government engaged? ▪ How does the government demonstrate its ownership of the projects? ▪ Did the government provide a counterpart to the project? ▪ To what extent partnerships/linkages between institutions/ organizations are encouraged and supported? ▪ Which partnerships/linkages are facilitated? Which one can be considered sustainable? ▪ What is the level of efficiency of cooperation and collaboration arrangements? (between local actors, UNDP and relevant government entities) ▪ Which methods were successful or not and why?	▪ Specific activities conducted to support the development of cooperative arrangements between partners, ▪ Examples of supported partnerships ▪ Evidence that particular partnerships/linkages will be sustained ▪ Types/quality of partnership cooperation methods utilized	▪ Project documents and evaluations ▪ Project Partners ▪ UNDP, Representatives of Gov. and Project Staff ▪ Beneficiaries	▪ Document analysis ▪ Interviews
Does the Project efficiently utilize local capacity in implementation ?	▪ Was an appropriate balance struck between utilization of international expertise as well as local capacity? ▪ Does the project support mutual benefits through sharing of knowledge and experiences, training, technology transfer among developing countries? ▪ Did the Project take into account local capacity in formulation and implementation of the project? ▪ Was there an effective collaboration with scientific institutions with competence in climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan?	▪ Proportion of total expertise utilized taken from Uzkekistan ▪ Number/quality of analyses done to assess local capacity potential and absorptive capacity	▪ Project documents and evaluations ▪ UNDP, Project Team and Project partners ▪ Beneficiaries	▪ Document analysis ▪ Interviews
Future directions for similar Projects	▪ What lessons can be learnt from the project on efficiency? ▪ How could the project have more efficiently addressed its key priorities (in terms of management structures and procedures, partnerships arrangements etc.…)? ▪ What changes could have been made (if any) to the project in order to improve its efficiency?		▪ Data collected throughout evaluation	▪ Data analysis
Review criteria: Impacts - *Are there indications that the project has contributed to the development of climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan?*				
How is the Project effective in achieving its	▪ Will the project achieve its objective that is to develop climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan?	▪ Changes in capacity: o To pool/mobilize resources o To provide an enabling environment, o For implementation of related strategies and programmes through adequate institutional frameworks and their maintenance,	▪ Project documents ▪ Key Stakeholders ▪ Research findings	▪ Documents analysis ▪ Meetings with UNDP, Project Team and project Partners

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
long-term objectives?		▪ Changes in use and implementation of sustainable alternatives ▪ Changes to the quantity and strength of barriers such as change in: o There is no systematic extension service and the extension services which do exist tend to favor larger farmers and do not take a climate change adaptation perspective. o There is no comprehensive early warning system in place to guide water allocation and crop and pasture planning and management. o There is no government policy or financial incentives for the large scale adoption of measures with strong adaptation value. o There are no integrated land use planning and policies for landscape level rehabilitation and sustainable management to allow for the functional integrity of the arid landscapes and hence greater resilience to climate change impacts.		▪ Interviews with project beneficiaries and other stakeholders
How is the Project impacting the local environment?	▪ What are the impacts or likely impacts of the project on? o Local environment; o Poverty; and, o Other socio-economic issues.	▪ Provide specific examples of impacts at those three levels, as relevant	▪ Project documents ▪ Key Stakeholders ▪ Research findings	▪ Data analysis ▪ Interviews with key stakeholders
Future directions for the Project	▪ How could the project build on its successes and learn from its weaknesses in order to enhance the potential for impact of ongoing and future initiatives?		▪ Data collected throughout evaluation	▪ Data analysis
Review criteria: Sustainability *- To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?*				
Are sustainability issues adequately integrated in Project design?	▪ Were sustainability issues integrated into the formulation and implementation of the project? ▪ Does the project employ government implementing and/or monitoring systems? ▪ Is the government involved in the sustainability strategy for project outcomes?	▪ Evidence/Quality of sustainability strategy ▪ Evidence/Quality of steps taken to address sustainability	▪ Project documents and evaluations ▪ UNDP, project staff and project Partners ▪ Beneficiaries	▪ Document analysis ▪ Interviews

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
Did the project adequately address financial and economic sustainability issues?	▪ Did the project adequately address financial and economic sustainability issues? ▪ Are the recurrent costs after project completion sustainable?	▪ Level and source of future financial support to be provided to relevant sectors and activities after project end? ▪ Evidence of commitments from international partners, governments or other stakeholders to financially support relevant sectors of activities after project end ▪ Level of recurrent costs after completion of project and funding sources for those recurrent costs	▪ Project documents and evaluations ▪ UNDP, project staff and project Partners ▪ Beneficiaries	▪ Document analysis ▪ Interviews
Organizations arrangements and continuation of activities	▪ Are results of efforts made during the project implementation period well assimilated by organizations and their internal systems and procedures? ▪ Is there evidence that project partners will continue their activities beyond project support? ▪ Has there been a buy-in process, or was there no need to sell the project and buy support? ▪ What degree is there of local ownership of initiatives and results? ▪ Are appropriate 'champions' being identified and/or supported?	▪ Degree to which project activities and results have been taken over by local counterparts or institutions/organizations ▪ Level of financial support to be provided to relevant sectors and activities by in-country actors after project end ▪ Number/quality of champions identified	▪ Project documents and evaluations ▪ UNDP, project staff and project Partners ▪ Beneficiaries	▪ Document analysis ▪ Interviews
Enabling Environment	▪ Are laws, policies and frameworks addressed through the project, in order to address sustainability of key initiatives and reforms? ▪ Are the necessary related capacities for lawmaking and enforcement built? ▪ What is the level of political commitment to build on the results of the project?	▪ Efforts to support the development of relevant laws and policies ▪ State of enforcement and law making capacity ▪ Evidence of commitment by the political class through speeches, enactment of laws and resource allocation to priorities	▪ Project documents and evaluations ▪ UNDP, project staff and project Partners ▪ Beneficiaries	▪ Document analysis ▪ Interviews
Institutional and individual capacity building	▪ Is the capacity in place at the national and sub-national levels adequate to ensure sustainability of results achieved to date?	▪ Elements in place in those different management functions, at appropriate levels (national and sub-national levels) in terms of adequate structures, strategies, systems, skills, incentives and interrelationships with other key actors	▪ Project documents and evaluations ▪ UNDP, Project staff and project Partners ▪ Beneficiaries ▪ Capacity assessments available, if any	▪ Interviews ▪ Documentation review
Social and political sustainability	▪ Did the project contribute to key building blocks for social and political sustainability? ▪ Did the project contribute to local Stakeholders' acceptance of the new practices?	▪ Example of contributions to sustainable political and social change with regard to climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan	▪ Project documents and evaluations ▪ UNDP, project staff and project Partners ▪ Beneficiaries	▪ Interviews ▪ Documentation review
Replication	▪ Were project activities and results replicated elsewhere and/or scaled up? ▪ What was the project contribution to replication or scaling up of innovative practices or mechanisms to improve climate resilience of farming and pastoral communities in drought prone parts of Uzbekistan, specifically Karakalpakstan?	▪ Number/quality of replicated initiatives ▪ Number/quality of replicated innovative initiatives ▪ Volume of additional investment leveraged	▪ Other donor programming documents ▪ Beneficiaries ▪ UNDP, project staff and project Partners	▪ Document analysis ▪ Interviews

Reviewed Component	Sub-Question	Indicators	Sources	Data Collection Method
	▪ Does the project has a catalytic role?			
Challenges to sustainability of the Project	▪ What are the main challenges that may hinder sustainability of efforts? ▪ Have any of these been addressed through project management? ▪ What could be the possible measures to further contribute to the sustainability of efforts achieved with the project?	▪ Challenges in view of building blocks of sustainability as presented above ▪ Recent changes which may present new challenges to the project	▪ Project documents and evaluations ▪ Beneficiaries ▪ UNDP, project staff and project Partners	▪ Document analysis ▪ Interviews
Future directions for the Project	▪ Which areas/arrangements under the project show the strongest potential for lasting long-term results? ▪ What are the key challenges and obstacles to the sustainability of results of project initiatives that must be directly and quickly addressed? ▪ How can the experience and good project practices influence the strategies to develop climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan? ▪ Are national decision-making institutions (Parliament, Government etc.) ready to improve their measures to develop climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan?		▪ Data collected throughout evaluation	▪ Data analysis

Annex 6: List of Documents Reviewed

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Government of Uzbekistan, May 11, 2017, Resolution of the President of Uzbekistan (ПП-2966) On the organization of activities of the State Committee of the Republic of Uzbekistan on Forestry

Government of Uzbekistan, January 17, 2017, Resolution of Cabinet of Minister of Uzbekistan (no 15) on Additional measures for improvement of socio-economic condition of people living in Karakalpakstan

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Government of Uzbekistan, November 3, 2015, Resolution of the Cabinet of Ministers of Uzbekistan (no 311) On measures to further improve the provision of agricultural and water sectors with highly qualified personnel with higher education

Government of Uzbekistan, October 9, 2017, Presidential decree (УП-5199) Improving the system of protection of rights and legitimate interests of Farmer, Dehkan enterprises, Owners of private land, effective use of sowing areas in agriculture

Government of Uzbekistan, October 10, 2017, Decree of the President (ПП-3318) On the organization of measures to further develop the activities of farmers, dehkan farms and owners of household land

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UNDP, GEF, Government of Uzbekistan, November 2012, Achieving Ecosystem Stability of Degraded Land in Karakalpakstan and Kyzylkum Desert – Project Final Evaluation Report

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_____, 2017, Modernization of the Systems of Hydro-meteorological and Climate Monitoring: Results of Estimation of Costs and Benefits

_____, Information guide on the technology of growing vegetable crops in ground greenhouses of the northern regions of the Republic of Karakalpakstan

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Annex 7: Interview Guide

Note: This is a guide for the Reviewing Team (a simplified version of the review matrix). Not all questions will be asked to each interviewee; it is a reminder for the interviewers about the type of information required to complete the review exercise and a guide to prepare the semi-structured interviews. Confidentiality will be guaranteed to the interviewees and the findings once "triangulated" will be incorporated in the report.

I. RELEVANCE - *How does the project relate to the main objectives of the AF, UNDP and to the development of climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan?*

I.1. Is the Project relevant to the AF objectives?
I.2. Is the Project relevant to UNDP objectives?
I.3. Is the Project relevant to Uzbekistan's climate resilience and development objectives in general?
I.4. Does the Project address the needs of target beneficiaries?
I.5. Is the Project internally coherent in its design?
I.6. How is the Project relevant in light of other donors?

Future directions for similar projects

I.7. What lessons have been learnt and what changes could have been made to the project in order to strengthen the alignment between the project and the Partners' priorities and areas of focus?
I.8. How could the project better target and address priorities and development challenges of targeted beneficiaries?

II. EFFECTIVENESS – *To what extent have the expected outcomes and objectives of the project been achieved?*

II.1. How is the Project effective in achieving its expected outcomes?
- Institutional and technical capacity and mechanisms for drought risk management and early warning developed
- Climate resilient farming practices established on subsistence dekhkan farms of Karakalpakstan
- Landscape level adaptation measures for soil conservation and moisture retention improves climate resilience of 1,042,094 ha of land.
- Knowledge of climate resilient agricultural and pastoral production systems in arid lands generated and widely available

II.2. How is risk and risk mitigation being managed?

Future directions for similar projects

II.3. What lessons have been learnt for the project to achieve its outcomes?
II.4. What changes could have been made (if any) to the formulation of the project in order to improve the achievement of project's expected results?
II.5. How could the project be more effective in achieving its results?

III. EFFICIENCY - *Was the project implemented efficiently, cost-effectively and in-line with international and national norms and standards?*

III.1. Is adaptive management used or needed to ensure efficient resource use?
III.2. Do the *Project Results Framework* and work plans and any changes made to them used as management tools during implementation?
III.3. Are accounting and financial systems in place adequate for project management and producing accurate and timely financial information?
III.4. How adequate is the M&E framework (indicators & targets)?
III.5. Are progress reports produced accurately, timely and respond to reporting requirements including adaptive management changes?
III.6. Is project implementation as cost effective as originally proposed (planned vs. actual)
III.7. Is the leveraging of funds (co-financing) happening as planned?
III.8. Are financial resources utilized efficiently? Could financial resources have been used more efficiently?
III.9. How is RBM used during project implementation?

III.10. Are there an institutionalized or informal feedback or dissemination mechanism to ensure that findings, lessons learned and recommendations pertaining to project formulation and implementation effectiveness were shared among project stakeholders, UNDP Staff and other relevant organizations for ongoing project adjustment and improvement?
III.11. Does the project mainstream gender considerations into its implementation?
III.12. Is the government engaged?
III.13. To what extent are partnerships/ linkages between institutions/ organizations encouraged and supported?
III.14. Which partnerships/linkages are facilitated? Which one can be considered sustainable?
III.15. What is the level of efficiency of cooperation and collaboration arrangements? (between local actors, UNDP, and relevant government entities)
III.16. Is an appropriate balance struck between utilization of international expertise as well as local capacity?
III.17. Did the project take into account local capacity in design and implementation of the project?

Future directions for the project

III.18. What lessons can be learnt from the project on efficiency?
III.19. How could the project have more efficiently addressed its key priorities (in terms of management structures and procedures, partnerships arrangements, etc., …)?

IV. IMPACTS - *Are there indications that the project has contributed to the development of climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan?*

IV.1. Will the project achieve its objective that is to develop climate resilience of farming and pastoral communities in the drought prone parts of Uzbekistan, specifically Karakalpakstan?

Future directions for the project

IV.2. How could the project build on its successes and learn from its weaknesses in order to enhance the potential for impact of ongoing and future initiatives?

V. SUSTAINABILITY - *To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?*

V.1. Were sustainability issues adequately integrated in project formulation?
V.2. Does the project adequately address financial and economic sustainability issues?
V.3. Is there evidence that project partners will continue their activities beyond project support?
V.4. Are laws, policies and frameworks being addressed through the project, in order to address sustainability of key initiatives and reforms?
V.5. Is the capacity in place at the national and local levels adequate to ensure sustainability of results achieved to date?
V.6. Does the project contribute to key building blocks for social and political sustainability?
V.7. Are project activities and results being replicated elsewhere and/or scaled up?
V.8. What are the main challenges that may hinder sustainability of efforts?

Future directions for the project

V.9. Which areas/arrangements under the project show the strongest potential for lasting long-term results?
V.10. What are the key challenges and obstacles to the sustainability of results of project initiatives that must be directly and quickly addressed?

Annex 8: Review Mission Agenda

Itinerary for Mid-Term Review - AGENDA

of the mission of Mr. Jean Joseph Bellamy, international consultant for the mid-term evaluation of the joint project of UNDP and the Center of Hydro-meteorological Service under the Ministry for Emergency Situations "*Developing climate resilience of farming communities in the drought prone parts of Uzbekistan*" funded by the Adaptation Fund (AF)

November 22-29, 2017

Date/time	*Activity / participants*	*Place*	*Responsible party*
Wednesday, November 22, 2017			
07:15 on flight TK0368	Arrival in Tashkent by flight Istanbul-Tashkent and transfer from the airport to the hotel	Tashkent International Airport Hotel Wyndham 100000, Tashkent, Amir Temur Str.,	UNDP/AF project
14:00-16:00	Meeting with the Project Manager and the project team: • Presentation of general information about the project, its implementation and results achieved; • Review of targets identified in the project's logical framework and assessment of the compliance of achievements with specific targets; • Review of documentation confirming the results achieved by the project.	Project office in Uzhydromet, 72, 1st passage Bodomzor Yuli Str.	UNDP/AF project
16:00-18:00	Meeting with National Project Coordinator and other national partners		
Thursday, November 23, 2017			
09:00-11:00	Work with the Project Manager and the project team: Discussion of the implementation progress of project activities and achievements for each component of the project	Project office in Uzhydromet, 72, 1st passage Bodomzor Yuli str.	UNDP/AF project jointly with Uzhydromet
11:00 -16:00	Meeting with the main national partner organizations, members of the appointed Interagency Working Group at the central level: • State Committee for Ecology and Environmental Protection; • Ministry of Agriculture and Water Resources; • Ministry of Economics; • Ministry of Finance.	Project office in Uzhydromet, 72, 1st passage Bodomzor Yuli Str.	
16:00-18:00	Departure from the airport of local flights to Nukus, accompanied by the Project Manager	Local flights airport Hotel Jepek Jolly,	UNDP/AF project

Date/time	*Activity / participants*	*Place*	*Responsible party*
	Arrival in Nukus and deployment in the hotel	Nukus, Saraev Str., 29	
Friday, November 24, 2017			
09:00- 18:00	Participation at demo workshop "*Towards climate change resilience of farming at Northern Regions of Karakalpakstan - agro conservation and water saving technologies application*" (including participants from the line ministries, project's targeted groups and Academia)	Hotel Jepek Jolly, Nukus, Saraev Str., 29	UNDP/AF project
Saturday, November 25, 2017			
09:00-11:00	Meeting with the project team in the project office in Nukus, Karakalpakstan: Discussion of the main challenges encountered during implementation of the project activity and determination of ways to solve them. Joint meeting with the project team and with the team of the UN Joint Programme "*Building the resilience of communities affected by the Aral Sea disaster through the Multi-Partner Human Security Fund for the Aral Sea*"	Project office in Nukus, 52, Ernazar Alakoz Str.	UNDP/AF project
11:00-12:00	Visiting the Extension Service Center in Nukus branch of the Tashkent Agrarian	Nukus Branch of the Tashkent Agrarian University	
12:00-17:00	Visiting the pilot sites of the project: 1. Kipchak gauging station **2.** Automated meteorological station in Nukus	Administration for Hydrometeorology of the Republic of Karakalpakstan	UNDP/AF project and UN Joint Programme
17:00-18:00	Working with the project team in the project office in Nukus, Karakalpakstan	Project office in Nukus, 52, Ernazar Alakoz Str.	UNDP/AF project
Sunday, November 26, 2017			
09:00- 18:00	Visiting the pilot sites of the project: 1. Plots for piloting agro and water-saving technologies in Kegeyli district; 2. Extension Service Center in Kanlykul district. Meeting with the local administrative management; 3. Plots for piloting agro and water-saving technologies in Chimbay district; 4. Nukus Branch of the Tashkent Agrarian University/Academy of Sciences of the Republic of Karakalpakstan;	Administration for Hydrometeorology of the Republic of Karakalpakstan VCC"Zhandulla Yusuf uly" in Kegeyli District "Agrotekhservis"Ltd. in Kanlykul District	UNDP/AF project
Monday, November 27, 2017			

Date/time	*Activity / participants*	*Place*	*Responsible party*
09:00-10:00	Preparatory work to meeting with main partner organization in Nukus office	Office of the Administration for Hydrometeorology of the Republic of Karakalpakstan; Project office in Nukus, 52, Ernazar Alakoz Str.	UNDP/AF project and UN Joint Programme
10:00-15:00	Meeting with the main partner organizations of the project, members of the appointed Inter-Agency Working Group at the regional level: • Administration for Hydrometeorology of the Republic of Karakalpakstan; • State Committee for Ecology and Environmental Protection of the Republic of Karakalpakstan; • Ministry of Agriculture and Water Resources of the Republic of Karakalpakstan; • Ministry of Economy of the Republic of Karakalpakstan; • Council of Farmers of the Republic of Karakalpakstan		
16:00-17:00	Final meeting with the local project staff and work in the office in Nukus: • Obtaining clarification from the project's team regarding unclear issues.		
17:00-18:00	Work in Nukus Office		
20:00-23:00	Departure from international airport of Nukus and arrival to the airport of local flights in Tashkent. Deployment at hotel	Tashkent's local flights airport Hotel Wyndham 100000, Tashkent, Amir Temur Str.,	UNDP/AF project
Tuesday, November 28, 2017			
10:00-16:00	Final meeting with the project staff and work in the office in Tashkent: • Obtaining clarification from the project team regarding unclear issues • Meeting with national partners	Project office in Uzhydromet, 72, 1st passage Bodomzor Yuli Str.	UNDP/AF project
16:00 – 17:00	Final meeting with National Project Coordinator	UNDP CO 41/3, Mirabad Str.	UNDP/AF project and Cluster on Sustainable Development of UNDP CO
17:00-18:00	Deployment at hotel	Hotel Wyndham 100000, Tashkent, Amir Temur Str.,	UNDP/AF project
Wednesday, November 29, 2017			
10:00-16:00	Working in office of the project: • Preparation of debriefing	Project office in Uzhydromet, 72, 1st passage Bodomzor Yuli str.	UNDP/AF project
16:00 – 17:00	Meeting with UNDP DRR in Uzbekistan, with the Cluster Leader on	UNDP CO	UNDP/AF project and

Date/time	*Activity / participants*	*Place*	*Responsible party*
	Sustainable Development of the Country Office with the participation of the Climate Change Specialist of the unit: Mission debriefing	41/3, Mirabad str.	Cluster on Sustainable Development of UNDP CO
17:00-18:00	Deployment at hotel	Hotel Wyndham 100000, Tashkent, Amir Temur Str., 7/8	UNDP/AF project
Thursday, November 30, 2017			
30.11.17 (04:00)	Departure by flight Tashkent-Istanbul on flight TK0371	Tashkent International Airport	UNDP/AF project

Annex 9: List of People Interviewed

Name	Organization
Ms. Natalya Akinshina,	Biologist, National University of Uzbekistan (Author of the project publication "Salt Tolerant Plans"),
Dr. Azizov	National University of Uzbekistan
Mr. Bahriddin Nishonov	Deputy Head of Uzhydromet
Mr. Sergey Klimov	Developer of the on-line manual on laser leveling, IT Consulting company
Mr. Khasan Mamarasulov	MAWR consultant, Holding "UZPOXTOSANOAT EXPORT" Deputy Head of Investment and Production modernization department (legal and policy analysis)
Ms. Antonina Kucherova	Ministry of Finance, member of Interagency Working Group
Mr. Salikh Hamzin	OOO "Kelajak shahri revoji" (agro and water saving technologies)
Mr. Alexey Semenov	Developer of Project Information and Outreach strategy, Westminster University
Ms. Malika Musaeva	Project PR specialist
Mr. Bakhadur Paluaniyazov	Manager of UN Joint Project (funded by UN Human Security Trust Fund, cost shared by UN Agencies)
Mr. Elmurat Turaniyazov	Rector of the branch of Agrarian University in Karakalpakstan
Mr. Murat Turinbetov	Manager of Extension Centre under the University
Mr. Pulat Kunnazarov	Specialist of Uzhydromet
Mr. Alym Yuldashev	Kipchak Gauging station (Hydrological Centre)
Mr. Aybek Aminov	Deputy Minister of Agriculture and Water Resources Karakalpakstan
Mr. Marat Kurbaniyazov	Head of Economic Department, MAWR Karakalpakstan
Mr. Ismurat Adinbaev	Head of Basin Management for Irrigation Systems
Mr. Sultan Baltashev	Deputy Chair of Council of Farmers
Mr. Arsenbay Seytnazarov	Chairman, Council of Farmers of Karakalpakstan
Mr. Aydos Kaybergenov	Deputy Minister of Economy
Mr. Baranbay Ibragimov	Head of Information Analytical Department, Ecology and Nature Protection Committee
Mr. Valijan Niyazinbekov	Deputy Head, Ecology and Nature Protection Committee
Ms. Irina, Arakelova	Head of Financial Department, Uzhydromet
Mr. Aleksandr Merkushkin	Project Manager
Mr. Polat Reymov	National Field Coordinator
Mr. Azat Tileumuratov	Specialist on landscape level adaptation measures

Mr. Alisher Utemisov	Project Field Assistant
Ms. Rano Baykhanova	Climate Change Specialist, UNDP
Mr. Hurshid Rustamov	Head of UNDP Sustainable Development Cluster in Uzbekistan
Ms. Natalia Olofinskaya	Regional Technical Advisor (RTA), UNDP-Istanbul

Visit of:
Automated meteorological station in Nukus
Kipchak gauging station
Visit of the Extension Service Center in Nukus branch of the Tashkent Agrarian

Kegeyli pilot site: "Zhandullal Yusuf ulu" farming

- Abdukadir Yusupov, farmer
- Fahriddin, National Consultant (Kelajak Shahri Rivoji)

Chimbay pilot site: "Jahsilik" farming

- Bayniyaz Kadirniyazov, farmer
- Hojabergen, informal leader of community

Kanlikul pilor site:

- Sabit Sadikov, Extension Service Consultancy Director
- Mels Khosnazarov, Khakim of Kanlikul district

Participated to the November 24, 2017 Seminar in Nukus with 85 participants in attendance.

Met about 40 people (5 women and 35 men) plus villagers at Kegeyli, Chimbay and Kanlikul site visits

Annex 10: MTR Rating Scales

As per UNDP-AF guidance, the MTR Review Team used the following scales to rate the project:

- A 6-point scale to rate the project's progress towards the objective and each project outcome as well as the Project Implementation and Adaptive Management: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), or Highly Unsatisfactory (HU).
- A 4-point scale to rate the sustainability of project achievements: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), and Unlikely (U).

Ratings for Progress Towards Results: (one rating for each outcome and for the objective)		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as "good practice".
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

Ratings for Project Implementation & Adaptive Management: (one overall rating)		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as "good practice".
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

Annex 11: Audit Trail

"Developing climate resilience of farming communities in the drought prone parts of Uzbekistan"

Section	Item #	Comments	Response
Section 1.1		Edits/updates	Done. Kept the description of the context as is (it is part of the justification of the project at the time) but added that it was the situation at the outset of the project (part of the justification of the project). Added also the current reforms that are underway as a footnote.
Section 1.2	a)	Please, see my comments above. Possibly you shall indicate that above is background for the period of development of the Project Document that is 2010-2013. This would be more consistent with what you state in this para	Kept paragraph as is. Agreeing that section 1.1 is a summary of situation during the formulation of the project (added a note (see above)).
	f)	This change is being implemented since January 2017 as per PB Decision adopted in December 2016.	Paragraph edited as per the comment.
Section 1.3	Rec. 1	***Partners:*** State Committee of the Republic of Uzbekistan for Ecology and Environment Protection, Ministry of Economy State Forestry Committee Ministry of Agriculture and Water Resources KK, Basin Department of Irrigation Systems, Council of farmers, dehkan farms and owners of household plo KKs, Ministry of Economy of KK ***Feedback:*** It is necessary to continue the study of existing legal framework and monitor national policy trends, especially in the area of food security, with special emphasis on ensuring measures to reduce the potential damage resulting from dangerous climate-related phenomena such as drought.	Feedback added in the recommendation
	Rec. 2	***Partners:*** State Committee of the Republic of Uzbekistan for Ecology and Environment Protection, Ministry of Economy State Forestry Committee	Feedback added in the recommendation

Section	Item #	Comments	Response
		Ministry of Economy of KK ***Feedback:*** In order to ensure the achievement of the output 1.4 Creation of science-based extension services for the dissemination of knowledge to farmers and dehkans, it is necessary to revise the allocation of the budget within component 1 towards increasing the budget for output 1.4. The initial allocation for output 1.4 ($ 58,000 (1.2% of the AF grant) is clearly not enough.	
	Rec. 4	***Partners:*** Ministry of Agriculture and Water Resources KK, Basin Department of Irrigation Systems, Forestry Committee KK Ministry of Economy of KK ***Feedback:*** Achievement of such indicator as: "70 000 hectares of arid lands of Karakalpakstan will be covered with plantations of saxaul and tamarisk", within the framework of this project seems impossible, taking into account needed financial recourses and time required to achieve this indicator. However, it's possible to come closer to this indicator, provided that resources are mobilized both at the national and international levels by establishing a framework agreement between the interested parties, for example, between UNDP, the State Forestry Committee and IFAS. The framework agreement (memorandum of cooperation) should create the basis for a sharp increase in the efficiency of forest reclamation work carried out by these organizations by combining efforts aimed at providing technical, methodological support, as well as supporting the reclamation work with labor resources, which, as a result, will make it as close as possible to achieving the established for the project of indicators related to forest reclamation activities. Outputs 2.1, 2.2, 2.3 won't be possible to achieve within the framework of this project taking into account financial recourses and timeframe required to achieve this indicators. Indicators should be revisited or reformulated in a way that the results will be achieved not only from direct project intervention.	Feedback added in the recommendation, including the importance of partnering with other stakeholders that are establishing a framework agreement to save the Aral Sea.
	Rec. 5	***Partners:***	Feedback added in the recommendation

Section	Item #	Comments	Response
		State Committee of the Republic of Uzbekistan for Ecology and Environment Protection, Ministry of Economy State Forestry Committee Ministry of Agriculture and Water Resources KK, Basin Department of Irrigation Systems, Forestry Committee KK Ministry of Economy of KK Committee, Forest Department KK ***Feedback:*** Taking into account objective reasons (coordination with the Government, delay in obtaining the 2nd tranche from the donor), which caused a backlog in the implementation of the planned activities, it is proposed to extend the project implementation period without changing the budget for a period of 6 to 9 months, complying with the necessary requirements from the donor (AF) and the International Implementing Agency (UNDP).	
	Rec. 6	***Partners:*** State Committee of the Republic of Uzbekistan for Ecology and Environment Protection, Ministry of Economy State Forestry Committee Ministry of Agriculture and Water Resources KK, Basin Department of Irrigation Systems, Council of farmers, dehkan farms and owners of household plo KKs, Ministry of Economy of KK ***Feedback:*** Consideration should be given to creating an information portal / platform for hosting hydrometeorological, agrometeorological, climatic data, statistical data, forecast information and information on the risk of dangerous hydrometeorological phenomena with varying levels of detail and access levels. The purpose of such an information portal / platform is to create an information basis for assessing the likely damage from hazardous hydrometeorological phenomena for the justified inclusion of measures to reduce damage in the country's economic development plans.	Feedback added in the recommendation, including the emphasis to develop a platform from which hydro-meteorological information would be made available.

Section	Item #	Comments	Response
	Rec. 8	***Partners:*** State Committee of the Republic of Uzbekistan for Ecology and Environment Protection, Ministry of State Committee of the Republic of Uzbekistan for Ecology and Environment Protection, Ministry of Economy State Forestry Committee Ministry of Agriculture and Water Resources KK, Basin Department of Irrigation Systems, Council of farmers, dehkan farms and owners of household plo KKs, Forestry Committee KK Ministry of Economy of KK ***Feedback:*** It is proposed to organize "Open days of farmers and forestry workers" in the pilot districts of the project, with the participation of decision-makers with the aim of getting closer to the results of work and monitoring the results of fieldwork, as well as sharing knowledge and experience.	Feedback added in the recommendation
	Rec. 9	It is under implementation since January 2017, see above	Paragraph edited as per the comment.
Section 1.3	All Rec.	For each recommendation, indicate which organization/agency is responsible for carrying it out.	Added and completed a line titled *Who*
Section 1.3	Rec. 4	The report recommends reviewing and revising some targets. We are always careful to not make changes to log-frames that would result in the downscaling of impacts. When discussing this recommendation, please refer to the following document from the Adaptation Fund website. • OPG ANNEX 7: Project/Programme Implementation (Approved in October 2017) I cut & pasted some of relevant text below, from page 2: "*12. For changes in project output or outcome indicators and/or associated targets, including modifications and deletions, on the understanding that such changes would only be accepted in exceptional circumstances and up to the submission of the first Project Performance Report for the project/programme, the implementing entities should: (i) obtain prior approval from the Board following a full technical review of the revised fully-developed project/programme document by the Project and Programme Review Committee; (ii) communicate such changes to the secretariat; and (iii) submit a*	Indeed, good addition to the context of changing these targets. No changes made to the report

Section	Item #	Comments	Response
		letter from the designated authority endorsing such changes to the secretariat, for the purposes of such technical review and approval."	
Section 2.	Par. 1	See all my relevant comments above to this section	Paragraph edited as per the comment.
	Par. 4	Would be reasonable to refer to TNC as well	Paragraph edited as per the comment.
	Par. 5	See my comments and suggestions above to the same section	Paragraph edited as per the comment.
	Par. 8	Edits	Done
Section 4.1.1.	Par. 22	Please use TNC as the latest available official document of the situation analysis. See my comment above	Paragraph edited as per the comment.
	Par. 30	Edits	Done
Section 4.2.1.	Table 5	Propose to include the legend from TOR that explain the rating above	Done
Section 4.3.1.	Par. 73	Edits	Done
	Par. 73	Edits	Done
	Par. 75	Edits	Done
	Par. 76	Edits	Done
Section 4.3.1	Page 34-36	More details could be provided on the adequacy of UNDP's support to the project. Was there an appropriate focus on results? Was the support timely? What was the quality of risk management?	Added reference to quality of UNDP's support to the project in paragraph #76. The management of risks were reviewed in section 4.4.1 and the recommendation #10 ask for adding 3 more risks in the risk log to be monitored.
Section 4.3.4.	Par. 88	Edits	Done
Section 4.4.2.	Par. 123	Edits	Done
Annex 5		Complete the annex	Completed

Annex 12: Evaluation Report Clearance Form

EVALUATION REPORT CLEARANCE FORM

for the Mid-Term Evaluation Report of the UNDP-AF-Government of Uzbekistan Project:
"Developing climate resilience of farming communities in the drought prone parts of Uzbekistan"
(PIMS 5002)

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: _____

Signature: _____ Date: _____

UNDP RTA

Name: _____

Signature: _____ Date: _____