



Strengthening Sustainability of the National Protected Area System by Focusing on Strictly Protected Areas

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GEF Focal Area: Biodiversity
GEF Strategic Program: SO1/SP3
Catalyzing Sustainability of Protected Areas

**Government of the Republic of Uzbekistan
Main Department of Forestry, Ministry of Agriculture and Water Management**

United National Development Program (UNDP)

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The evaluation is intended to give a summary of what has been achieved in the project as well as glean some of the lessons that can be learned from it in what was a relatively short period. In the report, we have tried to offer constructive criticism where we think it is warranted and we hope that those involved in the project take it as such.

Finally, it is a pleasure to visit Uzbekistan, to be shown around and to be introduced to the culture and foods with such evident pride. We saw the results of the dedication and enthusiasm that people had put into the work of conserving important places in the world. We would like to offer them our thanks and wish them every success in their continuing endeavours.

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Executive Summary

The Terminal Evaluation (TE) was carried out by one International Team Leader and one National Consultant with a mission to Uzbekistan between 28 May – 07 June 2013. The TE took place roughly three months before the project was due to close. During the mission, the evaluation team met and interviewed a large number of stakeholders. The evaluators worked with the Project Staff and particularly with the National Project Manager (NPM) and National Technical Coordinator (NTC) throughout the evaluation. Particular attention was paid to listening to the stakeholders' views and the confidentiality of all interviews was stressed. Whenever possible, the information was crosschecked among the various sources. A full list of people consulted over the course of the mission and by telephone, skype or email thereafter is given in Annex 3. A summary of the results of the evaluation was given to members of the UNDP-CO on 06 June 2013 at the end of the mission in Uzbekistan.

The TE was carried out with a number of audiences in mind, including: i) the Government of Uzbekistan, particularly those government partners who are involved in protected area management, ii) the UNDP-CO in Tashkent, Uzbekistan, iii) the UNDP-GEF teams in Bratislava and New York, iv) the GEF, v) other projects that may be developed in the country and in the region – particularly for the lessons learned in this project. It should, as a consequence, be noted that it is not targeting the project team alone and the lessons learned and recommendations are for many if not all these groups of people.

Key Findings and Issues

The project's objectives were:

Outcome 1: Master Plan for Protected Area System of Uzbekistan is guiding the expansion of the protected areas in Uzbekistan. The translated title of the actual document projected by the project reads along the lines of “*Program of creation and expansion of network of protected natural areas in Republic of Uzbekistan for the period of 2014-2023*” as is appropriate for the context of Uzbekistan. For the sake of continuity and consistency with previous reports, evaluations and the Project Document, throughout this report, we will continue to use the name “Master Plan”.

Outcome 2: Strengthened institutional and individual capacity to enable expansion and improved management effectiveness

Outcome 3: Demonstration of new conservation management approaches (new governance approaches) in buffer areas of strictly nature reserves in Uzbekistan. This final aspect of the project was to establish a buffer zone around an existing protected area, thereby implementing the provisions of the 2004 Protected Area Law.

The project had a very long gestation with the original concept being endorsed by the Cabinet of Ministers in April 1998. It was a decade later, in April 2008, that the CEO endorsement document was approved. As with other GEF projects developed about this time with similarly long development processes, this extended gestation period proved to be problematic. First, from a modest project that apparently set out to demonstrate the buffer zone concept, it grew into a project with three foci - i) the enabling environment (here the entire strategic, legal, administrative and financial frameworks for all protected areas in Uzbekistan and a blueprint for the system's expansion!), ii) capacity development (at both institutional and individual levels) and iii) demonstrating new management systems in one site – and yet still remained a Mid-Sized Project (MSP). As a consequence, it became overambitious and something akin to a patchwork quilt with different bits and pieces adhered onto it as time went by. This overambitious nature can be seen in the key aspects of project implementation: time and funding – particularly because critically it required the approval of

a significant piece of work – the Master Plan – by the Cabinet of Ministers. The Inception Period did not address these issues of overambition, timing or budgeting.

Outside of the demonstration site, the focused neither on implementation of those strategies nor on replication of the demonstration elsewhere in the country. Indeed, given that it remained an MSP, it would have been inconceivable to do so. Had it been one – or more – Full-Sized Projects (FSP), it would have better to develop the strategies and implement them, to demonstrate the buffer zone concept and catalyse the process to replicate it across the protected area estate. In conclusion, then, the project was a victim of its long gestation and the design issues that consequently arose from that.

A direct consequence of the fact that the project developed strategies or plans but did not implement them is that there is only moderate likelihood of sustainability of the activities, plans and any impacts of the project. Critically, it remains unclear whether or not the Master Plan will be approved by the Cabinet of Ministers.

In terms of implementation, as described below, the project team achieved a remarkable amount with a relatively small budget. However, there were a few shortcomings:

- The overambitious nature of the project has led to two project extensions and we are recommending a further extension. This obviously is indicative of poor design and planning.
- The relationship between the UNDP-CO and the project team should be built on trust and mutual respect.
- Creative solutions will have to be found to ensure that the best local consultants remain available and willing to carry out pieces of work such as they did on this project.
- The UNDP-CO will have to play a leveraging political role during (and after) projects such as this, especially where legislation or strategies have to be approved by the government. This should be, partly, based on the fact that the projects should be owned and endorsed by the government at their outset (which this was).
- The project was designed to develop strategies and then “guide” their implementation. The project fell short of any implementation (with the notable exception of the work in and surrounding Surkhan zapovednik). However, it was simply too ambitious realistically to do this.

Key results

The project achieved what it did largely due to an outstanding project team. The key results of the project can be listed as follows:

- Through a wisely constituted Project Board, the project succeeded in bringing together the principal actors in the field of protected area management in the country and this resulted in unprecedented communication and collaboration among these actors.
- The development of a Master Plan for the protected area system of Uzbekistan – the “Program of creation and expansion of network of protected natural areas in RoU for the period of 2014-2023” – and securing support for this strategy before its passage into the Cabinet of Ministers. If approved and implemented, this will ensure representation of ecosystems in the protected area estate and greatly increase its coverage. This would be a significant contribution to conservation of global biodiversity.
- The creation of the buffer around the Surkhan zapovednik with the support of the local communities and authorities.
- Despite the relatively poor funding situation in the country, the project managed to leverage funding for project activities.
- An ecological monitoring system for the protected area system was developed.
- The project produced a template for the development of management plans for protected areas and demonstrating how it works in Sukhan zapovednik.
- The value of participatory approaches in such projects was appreciated.

- Following the MTE, in particular, the project worked to increase awareness. Without exception, the interviewees commented on the success of this aspect of the project. However, the project did not implement any mechanisms to measure the success or, more importantly, impact of this campaign.
- The delivery of various inputs (see Annex 7) to Surkhan zapovednik – thereby increasing their capacity to carry out their monitoring and management mandates.
- Piloting schemes to diversify livelihood strategies in the vicinity of Surkhan zapovednik – particularly the provision of fruit tree seedlings.

Item	Rating	Comment
Overall Project Results	S	At present and because much still hangs in the balance, we have rated the overall project results as satisfactory. Of course, if the Master Plan (and the other strategic documents and plans) are not approved, then the results of the project become quite disappointing. However, we have recommended a further extension of the project in the hope that this will enable the project team to shepherd the Master Plan (and other documents) through the processes of their approval. If they are indeed approved then this will be a highly satisfactory result. We also recommend that the TE team is reconvened to finalise this rating at the end of the project.
IA & EA Execution		
Overall quality of implementation & execution	S	The project was implemented with only minor shortcomings. These relate mainly to the ownership issues (as described in the main body text). It is a testament to a well-implemented project that so much has been achieved with such a modest budget and a small, efficient team.
Implementation Agency Execution ¹	S	The UNDP-CO provided adequate support for the project however there were some minor shortcomings related to the UNDP-CO's relationship with the government and applying significant political leverage to see the Master Plan (and other strategies produced by the project) on their passage through to approval. In addition, the relationship between the UNDP-CO and the project team was not as open, trusting and respectful as we would have expected ² .
Executing Agency Execution	S	The Main Department of Forestry in the MAWR provided space and in-kind support to the project. The Department also chaired the PB. However, there appeared to be ownership issues and the PIU operated as an independent unit within the Department rather than as part of it.
M&E		
Overall quality of M&E	S	The M&E and reporting structures and processes were appropriate, albeit that they were largely qualitative rather than quantitative.
M&E design at project start-up	HS	The design followed (and did not deviate from) the M&E structures and processes that are commonly seen in projects across the globe. These were appropriate.
M&E plan Implementation	S	There were only minor shortcomings to the implementation of the monitoring plan – not that any aspects of the monitoring plan were not done – but that the monitoring failed to recognise areas in which the project was straying (e.g., in project management costs). Project teams should also, adaptively, consider how their work

¹ While there may be some confusion about nomenclature, UNDP is taken as the Implementation Agency for this analysis.

² Comment from UNDP-CO on this observation in Draft 1 of the TE report: “Please, specify how this conclusion was made?” TE response: “This point was made by a number of independent interviewees who had observed the interaction between the project team and the UNDP-CO staff; it was not a statement made by the project team.”

Item	Rating	Comment
		should be best quantified even if it was not mentioned within the project document.
Outcomes		
Overall quality of project outcomes	S	There were minor shortcomings to the products produced by the project and the outcome delivered regarding Surkhan zapovednik and its new buffer zone. If (or when) the Master Plan is approved by the Cabinet of Ministers and other implementation solutions are found for all the project's products, this will shift to a project with no shortcomings. There were, of course, shortcomings to the project design but the reasons for this are convoluted and complex, and lessons have already been learned from this and similar projects.
Relevance	HS	The project's products and outcomes are very relevant to the development and conservation context of Uzbekistan and the region in general. There are wide ranging (across the CIS where there are equivalent zapovedniks) implications of the lessons learned from the establishment of the buffer zone around Surkhan zapovednik. The Master Plan, once implemented, will assist Uzbekistan fulfil its international and national commitments as well as conserve globally important biodiversity.
Effectiveness	S	The project has been effective in delivering results – obviously limited only by the government approvals that are pending. If these are not delivered, the risk assessment for the project was inaccurate or the mitigation strategies inadequate.
Efficiency	HS	The project has shot well above its budget and staffing levels: this is a testament to its efficiency.
Sustainability		
Overall likelihood of risks to sustainability	ML? ³	There are difficulties trying to predict the likelihood of sustainability: the project designers underestimated the risk associated with approval of the project's outputs. No single interviewee could state with confidence that the outputs would be approved and implemented. This reflects, perhaps, the capricious nature of approval processes and that approval may be independent of the efforts of the project team to influence it. Given that approval is closely linked to obligatory financing, we have lumped them together.
Financial resources		
Socio-economic	?	We are unable to rate the socio-economic sustainability with any accuracy because we were unable to travel to Surkhan zapovednik. It is in this area that socio-economic sustainability is the most important. However, if the participatory processes that were so successfully applied in this project are scaled-up, it will significantly improve the likelihood of socio-economic sustainability.
Institutional Framework and governance	MU	There are so many complexities to the institutional framework (e.g., four agencies with the mandate to manage protected areas) and dealing with them was beyond the scope of the project. In addition, some of the plans (e.g., the monitoring system) have no institutional plan. Consequently, we believe that achieving institutional sustainability in the short-term (and without further

³ The project team questioned the use of the question mark here in the draft report. *TE response: The question mark reflects the difficulty in rating the likelihood of overall sustainability when it appears to be dictated by the whim of the Cabinet of Ministers rather than by reason. They will either approve the Resolution (thereby guaranteeing the sustainability) or they will not, and no one could say with any confidence which way it will go. Even with the contingency plans in place, if the Resolution were not approved, the sustainability would never be guaranteed. We have rated it as Moderately Likely in recognition of the work that the project team has already put in in securing signatures and agreements from different government agencies.*

Item	Rating	Comment
		interventions) to be moderately unlikely.
Environmental	ML/MU	Coupled with the issues of institutional sustainability is the degree to which the environment and protected areas in particular are disempowered and marginalised. And yet, it is possible that there will be some form of approval of the Master Plan even if it is not in its entirety. As such, it is, once again, profoundly difficult to make predictions with any confidence.
Catalytic Role		
Production of a Public Good	HS	As described in the main body text, the outputs of the project and the work carried out in and surrounding Surkhan zapovednik represent both the production of a public good and a demonstration. Further, not only has there been some replication but all the other zapovedniks are eager to learn from the process carried out in Surkhan. And then if the Master Plan is approved and implemented, and if the Surkhan demonstration is scaled-up, the protected area system of Uzbekistan will be in a significantly better state than before.
Demonstration	HS	
Replication	S	
Scaling up	MS	

Key recommendations and lessons learned

The recommendations and lessons learned from the project include:

- If feasible (both from the perspective of GEF regulations as well as financial constraints), the project should be extended at least to the end of 2013 if not to April 2014. This will increase the probability of key strategies such as the Master Plan will be approved and, consequently, improve the sustainability of the project’s activities and impacts.
- Integrate the Master Plan and other outputs of the project into the forthcoming National Biodiversity Strategy and Action Plan (NBSAP II).
- If the project is extended, there are a few outstanding tasks and it is important that the project team works to complete them. This includes developing and implementing contingency plans that will increase the likelihood of sustainability of the project’s activities and impacts.
- Find a mechanism for the continuation of the Project Board as a Coordination Body for protected areas across the country and put it in place before the project closes.
- Ensure that there is one form or other of monitoring the effectiveness of the management of protected areas. It may or may not be the METT (the tracking tool preferred by the GEF) but there has to be one that is meaningful and that is implemented across the entire protected area estate.
- While the project document and logframe provide the foundation of the project’s work, where additional activities can significantly contribute to the achievement of the project’s goals and outcomes, they should be considered (subject to sufficient time and resources – both human and financial). However, if they are carried out, their impacts should be monitored.
- The lessons from the long lead in have already been learned by the GEF; this project vindicates their decisions.
- The sustainability of the project’s activities and impacts need to be considered right from the outset of the project. An exit strategy, per se, should not be necessary because the project should be designed and implemented towards ensuring the sustainability of its activities and impacts.
- An excellent team makes all the difference as to whether a project manages to carry out the tasks set out before it. As in the case of this project, the selection of the team should respond to the needs of the project. In this project, both political and technical strengths were necessary and they were to be found in the NPM and the NTC.

- A participatory approach works well, particularly when working at a local level. This includes sharing responsibilities as well as any benefits that the project/protected areas may offer.

Acronyms and Abbreviations

CO	Country Office
GEF	Global Environment Facility
GIS	Geographic Information System
Glavohota	Department of Reserves, National Natural Parks and Hunting Economies
Gosbiocontrol	State Inspection on on Conservation and Rationale Use of Flora and Fauna and Strict Nature Reserves
Goskompriroda	State Committee for Nature Protection
ha	Hectare(s)
M&E	Monitoring and Evaluation
METT	Management Effectiveness Tracking Tool
MOU	Memorandum of Understanding
MTE	Mid-term Evaluation
NBSAP	National Biodiversity Strategy and Action Plan
NGO	Non-governmental Organisation
NPC	National Project Coordinator
NPM	National Project Manager
NTC	National Technical Coordinator
PA	Protected area
PDF-A	Project Development Facility – Block A
PIR	Project Implementation Report
PIU	Project Implementation Unit
PB	Project Board
SNR	Strict Nature Reserve/ Zapovednik
SSNR	Surkhan State Nature Reserve/Surkhan Zapovednik
TE	Terminal Evaluation
TOR	Terms of Reference
UNDP	United Nations Development Programme
USD	United States Dollar
Zapovednik	Strict Nature Reserve

1 Introduction

1. The Terminal Evaluation of the UNDP-GEF project “Strengthening Sustainability of the National Protected Area System by Focusing on Strictly Protected Areas (PIMS 2111)” was carried out according to the UNDP-GEF Monitoring and Evaluation Policy. Thus, it was carried out with the aim of providing a systematic and comprehensive evaluation of the performance of the project by assessing its design, processes of implementation, achievement relative to its objectives. Under this overarching aim, its objectives were i) to promote accountability and transparency for the achievement of GEF objectives through the assessment of results, effectiveness, efficiency, relevance, sustainability and impact of the partners involved in the project, and ii) to promote learning, feedback and knowledge sharing on the results and lessons learned from the project and its partners as a basis for decision-making on policies, strategies, programme management and projects, and to improve knowledge and performance. As such, this TE was initiated by UNDP-Uzbekistan as the GEF Implementation Agency for the project to determine its success in relation to its stated objectives and to understand the lessons learned through the implementation of the project.
2. The TE was conducted by two consultants – one international and one national. Both consultants were independent of the policy-making process, and the delivery and management of the assistance to the project. Neither consultant was involved in the design, implementation and/or supervision of the project.
3. The TE was carried out over a period of 25 days from 10 May to 18 June 2013. Carrying out the TE at this point was in line with UNDP/GEF policy for Evaluations that stipulates they should be conducted either six months before or six months after the close of the project (but see Section on Recommendations).

1.1 Approach and methodology

4. The approach for the TE was determined by the Terms of Reference (TOR, see Annex 1). The TOR were followed closely but the evaluation has focused on assessing i) the concept and design of the project, ii) its implementation in terms of quality and timeliness of inputs, financial planning, and monitoring and evaluation, iii) the efficiency, effectiveness and relevance of the activities that were carried out, iv) whether the desired (and other undesirable but not intended) outcomes and objectives were achieved, v) the likelihood of sustainability of the results of the project, and vi) the involvement of stakeholders in the project’s processes and activities.
5. The TE included a thorough review of the project documents and other outputs, documents, monitoring reports, Annual Project Reports (APR), Project Implementation Reviews (PIR), relevant correspondence and other project related material produced by the project staff or their partners (see Annex 5 for a complete list of the documents consulted during the TE). The evaluation assessed whether a number of recommendations that had been made following the project’s Mid-term Evaluation (MTE), and the monitoring and support visits from members of the Biodiversity staff of UNDP’s Regional Centre in Bratislava had been implemented and to ascertain the explanations if they had not been.

6. The TE also included a mission to Uzbekistan between 28 May – 07 June 2013. The evaluation process during the mission followed a participatory approach and included a series of structured and unstructured interviews, both individually and in small groups (see Annex 2 for the itinerary of the mission).

7. Unfortunately, circumstances dictated that a visit to the demonstration site was not possible. Instead, key people representing i) the reserve staff, ii) local government, and iii) local community travelled to Tashkent to meet the evaluation team. These interviews focused on validating the reports and indicators; the interviewees presented photographic evidence of the usefulness of the infrastructure and equipment that the project had provided. While we appreciate the efforts made by the project team and the people who travelled to Tashkent, it would have been good i) to have examined, in person, the infrastructure development and equipment procured, and ii) to have consulted with a broader selection of the protected area staff, local authorities or government representatives and local communities.

8. The evaluators worked with the Project Staff and particularly with the National Project Manager (NPM) and National Technical Coordinator (NTC) throughout the evaluation. Particular attention was paid to listening to the stakeholders' views and the confidentiality of all interviews was stressed. Whenever possible, the information was crosschecked among the various sources. A full list of people consulted over the course of the mission and by telephone, skype or email thereafter is given in Annex 3.

9. The evaluation was carried out according to the UNDP/GEF Monitoring and Evaluation Policy. Therefore, activities and results were evaluated for their: i) **Relevance** – thus, the extent to which the results and activities were consistent with local and national development priorities, national and international conservation priorities, and GEF's focal area and operational programme strategies, ii) **Effectiveness** – thus, how the project's results were related to the original or modified intended outcomes or objectives, and iii) **Efficiency** – thus, whether the activities were carried out in a cost effect way and whether the results were achieved by the least cost option. The results, outcomes, and actual and potential impacts of the project were examined to determine whether they were positive or negative, foreseen or unintended. Finally, the sustainability of the interventions and results were examined to determine the likelihood of whether benefits would continue to be accrued after the completion of the project. The sustainability was examined from various perspectives: financial, social, environmental and institutional.

10. In addition, the evaluators took pains to examine the achievements of the project within the realistic political and socio-economic framework of Uzbekistan over the last five years.

11. The logical framework (which was amended during the Inception Period and following the MTE) with Outcomes, Outputs and indicators towards which the Project team worked and which formed the basis of the TE.

According to the GEF policy for TEs, the relevant areas of the project were evaluated according to performance criteria (

12. Table 1). There were no aspects of the project that were deemed Not Applicable (N/A) or Unable to Assess (U/A).

Table 1. The ratings that were assigned to the various aspects of the project, in accordance with UNDP/GEF policies.

Rating	Explanation
Highly satisfactory (HS)	The aspect had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Satisfactory (S)	The aspect had minor shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Moderately Satisfactory (MS)	The aspect had moderate shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Moderately Unsatisfactory (MU)	The aspect had significant shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Unsatisfactory (U)	The aspect had major shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency
Highly Unsatisfactory (HU)	The aspect had severe shortcomings in the achievement of its objectives in terms of relevance, effectiveness and efficiency

13. In a similar way, the sustainability of the project’s interventions and achievements were examined using the relevant UNDP/GEF ratings (Table 2).

Table 2. The ratings that were assigned to the different dimensions of sustainability of the interventions and achievements of the project.

Rating	Explanation
Likely (L)	Negligible risks to sustainability, with key outcomes expected to continue into the foreseeable future
Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained
Moderately Unlikely (MU)	Substantial risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
Unlikely (U)	Severe risk that project outcomes as well as key outputs will not be sustained
Highly Unlikely (HU)	Expectation that few if any outputs or activities will continue after project closure

14. A summary of the results of the evaluation was given to members of the UNDP-CO on 06 June 2013 at the end of the mission in Uzbekistan.

15. The TE was carried out with a number of audiences in mind, including: i) the Government of Uzbekistan, particularly those government partners who are involved in protected area management, ii) the UNDP-CO in Tashkent, Uzbekistan, ii) the UNDP-GEF teams in Bratislava and New York, iii) the GEF, iv) other projects that may be developed in the country and in the region – particularly for the lessons learned in this project. It should, as a consequence, be noted that it is not targeting the project team alone and the lessons learned and recommendations are for many if not all these groups of people.

16. The report follows the structure of TEs recommended in the UNDP Evaluation Guidance for GEF-Financed Projects. As such, it first deals with a description of the project and the development context in Uzbekistan (Section 2), it then deals with the

Findings (Section 3) of the evaluation within three sections (Project Formulation, Project Implementation and Project Results, respectively). The report then draws together the Conclusions, Recommendations and Lessons from the project (Section 4).

2 Project Description and Development Context

17. The development context and the project's description are to be found, in detail, in the project document and the mid-term evaluation. Here, we summarise these aspects.

18. Like many GEF projects formulated in the late 1990s, the project had an extended gestation with the original project concept being endorsed by the Cabinet of Ministers in April 1998 (see Agreement #139 of the Cabinet of Ministers). It was then only in March 2002 that UNDP agreed to the PDF-A process and a PDF-A was submitted to the UNDP-GEF Regional Technical Centre in March 2003 and then to GEFSEC in November 2003. Included in the comments, received from GEFSEC, was the requirement to align the project with the new GEF Strategic Objective Biodiversity "Catalyzing Sustainability of Protected Areas"

19. The Project Document for the PDF A was signed in March 2004, and the Medium-sized Project (MSP) Brief was finalized in November 2005. This document was submitted to internal technical clearance processes prior to submission to GEFSEC. Once again, GEF's priorities changed and a number of changes were made to the design to take account of this, such as designing the project at the system level and focusing on expansion (Strategic Priority 3, "Strengthening Terrestrial Protected Area Networks"). Thereafter, with the commencement of GEF-4, there was a renewal of the pipeline and projects had to be re-submitted using the Project Identification Form (PIF) template. The PIF for this project was submitted in November 2007. It finally received CEO approval on 31 January 2008 as an MSP under OP-3 Forest Ecosystems. The CEO endorsement document was submitted on 11 March 2008 and approved on 04 April 2008. The Project Document was signed on 29 June 2008. In the section below, we discuss the implications for the long gestation period for the project.

20. In brief, the goal of the project was:

To demonstrate new management approaches for expansion of protected area system of Uzbekistan

21. This is a slightly opaque goal but relates primarily to the establishment of a buffer zone around Surkhan zapovednik. However, the expansion plan produced by the project is much more ambitious than that. It does not restrict itself simply to the expansion through the creation of buffers around zapovedniks in the country (albeit that that is part of the plan); rather, it calls also for the creation of new protected areas and which **could be implemented in future UNDP-GEF projects**.

22. The Outcomes towards which the project worked were:

Outcome 1: Master Plan for Protected Area System of Uzbekistan is guiding the expansion. The translated title of the actual document projected by the project reads along the lines of "*Program of creation and expansion of network of protected natural areas in Republic of Uzbekistan for the period of 2014-2023*" as is appropriate for the context of Uzbekistan. For the sake of continuity and consistency with previous reports, evaluations and the Project

Document, throughout this report, we will continue to use the name “Master Plan”.

Outcome 2: Strengthened institutional and individual capacity to enable expansion and improved management effectiveness

Outcome 3: Demonstration of new conservation management approaches (new governance approaches) in buffer areas of strictly nature reserves in Uzbekistan. This final aspect of the project was to establish a buffer zone around an existing protected area, thereby implementing the provisions of the 2004 Protected Area Law.

3 Findings

3.1 Project Formulation

23. As described above, the project's gestation was extremely long over the course of which there were a number of changes to GEF's strategies. As concluded by the Mid-term Evaluation team, the project's design "suffered as a result of its history". It seems to have grown from a modest attempt to implement and demonstrate the newly conceived buffer zone concept in a single protected area – Surkhan zapovednik. However, with the changing priorities of the GEF, it grew to shift its emphasis on the protected area system as a whole. It became a somewhat boilerplate protected area system project focusing on i) the enabling environment (here the entire strategic, legal, administrative and financial frameworks for all protected areas in Uzbekistan and a blueprint for the system's expansion!), ii) capacity development (at both institutional and individual levels) and iii) demonstrating new management systems in one site – and yet still remained a Mid-Sized Project (MSP). As such, it became overambitious and something akin to a patchwork quilt with different bits and pieces adhered onto it as time went by. This overambitious nature can be seen in the key aspects of project implementation: time and funding.



Figure 1. A map of Uzbekistan showing the location of Surkhan zapovednik.

24. While it is acknowledged that the project was designed on a GEF funding cycle (i.e., four years), in the context of Uzbekistan, the planned project time was too short to achieve the envisaged strategic, policy and legislative changes. This reinforces **lessons learned** in other UNDP-GEF projects which recommended, among other things:

“The design of projects involving the achievement of critical milestones such as a new Law or a new institution should better take into account the time needed for the political process to go through”; and

“A project involving a change of the legislation and/or policy framework should not be shorter than 5 years. The time it takes to change a Law or a Policy is often underestimated and the overall project duration too short to develop the full necessary capacity to make the change sustainable”

25. The final product – and in consequence the final outcomes of the project at the time of the Terminal Evaluation (TE) – bore little relationship with the actual title of the project: “Strengthening Sustainability of the National Protected Area System by Focusing on Strictly Protected Areas”. In other words, the title of the project does not accurately describe the project.

26. However, in addition to these gestational issues, the Inception Period was described by a number of interviewees as being “ineffective”⁴. To be clear: the Inception Period and Inception Report are supposed to evaluate the changes in circumstances in the country over the gestation period of a project. It is also supposed to present an opportunity to examine whether attaining a project’s goal, purpose and outcomes is realistic. It appears that the Inception Period did not do this completely and it is only when the project team and international consultants were on board that some of these issues started to be dealt with. The Inception report certainly dealt with neither the timing issues nor a mechanism to see the strategies that were to result from the project approved.

27. What must be emphasized here is that when the project team was assembled at the beginning of the project, they were dealing with a behemoth of a project that was, initially, quite incomprehensible to them but they had little choice but to try to implement it. And yet, given the state of the project at the time of the Terminal Evaluation (see Results Section), we conclude that they have done remarkably well!

28. Finally, in terms of formulation (and as described in more length below particularly in the Sustainability Section), the project focused on the production of a number of strategies but not on the implementation. As was indicated in the MTE, this could be seen to be a weakness (because of the sustainability issues), but it would have been even more unrealistic to expect that this project, a MSP, would both secure approval of the strategies and initiate implementation of them.

29. The GEF has already dealt with the issues that surround projects with long gestation periods: projects can no longer be in the pipeline for more than 18 months. After 18 months, they are simply removed from the pipeline and the process has to re-start. Other gestational aspects have also been already dealt with – such as the influence of changing priorities as once the basic project objectives and structures are approved at the PIF stage, they cannot be substantively changed. In short, the **lessons** from a suite of similarly affected projects across the globe have already been learned.

3.1.1 Role of UNDP-CO

30. While the project was implemented under Nationally Executed modalities, the UNDP-CO supported the project by maintaining the project’s budget and project

⁴ UNDP-CO and project team comment on draft report: “Please, specify how this conclusion was made?” *TE response: Clarified in text but it was also described in the report of the project’s Mid-term Evaluation.*

expenditures, contracting project personnel, experts and sub-contractors, undertaking all procurements and providing further assistance on the request of the National Executing Agency. The UNDP-CO also monitored the project’s implementation.

31. Overall, the UNDP-CO provided satisfactory support to the project. There were only a small number of issues that were raised over the course of the TE mission.

32. First, there was a small level of staff turnover over the course of the implementation of the project but over the lifetime of the project since its conception in 1998, staff turnover has been high. The loss of institutional memory associated with such staff turnover is well recognised but, in these circumstances, it may well have contributed to the patchwork quilt nature of the project’s design (as well as the changes in GEF priorities, as described above).

33. Second, not unfamiliarly, the UNDP-CO required a cumbersome approval process for every facet of the project⁵ – thus, all documents, including letters, that were produced by the project had to be approved by the UNDP-CO. Herein we note two things: i) there remained an element of distrust in the Project Implementation Unit (PIU) and even dismissiveness of the NPM and ii) this slowed the process of project implementation. Our assumption is that over the course of a five-year project, mutual trust and respect should grow (and it appears to some degree to have done so by the time that the Terminal Evaluation was taking place), particularly if there are no occurrences that would otherwise undermine such trust. Thus, **at the beginning of a project, such bureaucratic processes might be put into place, as mutual trust grows, they should be eased, adaptively, to improve implementation efficiencies**⁶.

34. Third, changes in payment modalities to national consultants have resulted in a significant net loss to those consultants. While the UNDP-CO is thereby adhering to the environment in which they find themselves, **they may have to find solutions, even ones of a creative nature, in order not to alienate the rather limited resource that the national consultants represent.**

35. Beyond these issues, the role that the UNDP-CO has played is not yet complete. As we discuss later in this report, we believe that they should play a prominent role in assisting with the process to usher the Master Plan through the Cabinet of Ministers. We envisage this to be beyond the level that they currently play (which is largely bringing the subject up as often as they can when meeting with counterparts in the government of Uzbekistan). Rather, we believe that they have a more active and coercive role to play.

36. Finally, we believe that there are lessons to be learned from elsewhere in the CIS regarding the relationship that the UNDP-CO can forge with their government counterparts. Where the relationship becomes a strategic partnership such that the government partners and the UNDP-CO staff have conceived a cohesive, long-term strategy for the development of the protected area system, it engenders the ownership, willingness and support that these projects so sorely need.

⁵ UNDP-CO comment on the draft report: “Please, specify what are those administrative processes?”
TE response: text edited to clarify.

⁶ UNDP-CO comment on draft report: “How this conclusion was made?” *TE response: The TE team was informed by a number of independent interviewees who commented on the relationship between the UNDP-CO and the project team and particularly the NPM.*

3.1.2 Stakeholder participation.

37. The designers of the project prided themselves on “very close contact ... with all stakeholders at national and local levels”.

38. The project can also be justifiably proud, as well, in what they have achieved in terms of stakeholder participation. Here we highlight two important illustrations of that.

39. The first relates to the Project Board and the success it achieved in bringing together the government organizations that have mandates for protected area management at a national level. There are four of these government agencies⁷: i) the Main Department of Forestry within the Ministry of Agriculture and Water Resources (MAWR), ii) the State Committee for Nature Protection of the Republic of Uzbekistan (Goskompriroda) which is an official sub-division of the Parliament of Uzbekistan, iii) the State Committee on Geology and Mineral Resources, and iv) Tashkent Oblast Khokimiat (or regional administration). Historically, there has been little coordination or collaboration among the organizations.

40. The establishment of the Project Board and careful selection of people to represent the agencies brought them together on multiple occasions. Relationships were built and now there is active cooperation and communication among the agencies. The Project Board meetings were animated, an indicator of the degree of trust and commitment among the participants.

41. In addition to the successes within the Project Board, the level of inclusion at the local level was significant. The processes to establish and, notably, to decide on the boundary of the buffer zone around Surkhan zapovednik were fully participatory and, consequently, very successful.

3.2 Project Implementation

42. As described above, following a long gestation, project implementation commenced in April 2008⁸. The NPM was hired in August 2008; the Inception Report was finalized by December 2008. The International Consultant for Protected Area Planning and Management was recruited and visited Uzbekistan for the first time (26 January – 05 February 2009). Throughout this period, the majority of the first year of the project, was therefore spent planning and understanding the goals and objectives of the project.

43. The MTE took place towards the end of 2010, with the report being finalized by November 2010.

44. The original closure date for the project was April 2012, four years after the commencement of the project. There have been two extensions granted to the project, based on the recommendations from the MTE – one to the end of 2012. The second extension is the current planned closure on 31 August 2013.

⁷ The details on the mandates and institutional settings for these agencies is well described in the Project Document.

⁸ Project team comment on draft report: “Why did the project start in April? It has started in August when the PM has been hired!” *TE response: GEF projects officially commence on CEO approval – thus, 04 April 2008.*

3.2.1 Implementation modalities and project management

45. The project was implemented under Nationally Execution (NEX) modalities, with the Main Department of Forestry within MWAR as the Execution Agency. The Main Department of Forestry appointed, as planned, the National Project Coordinator (NPC). In a display of **adaptive management**, when he proved too busy to fulfil his role, his Deputy was appointed as NPC.

46. A Project Board was established to provide guidance and support to the project. As was planned, the Project Board included and brought together a large number of stakeholders (as mentioned above). Through the life of the project, the Project Board met biannually. When the original appointees could not attend, delegates were sent to attend in their place. Finally, the Project Board did not always meet in Tashkent. It met once in Ugum-Chatkhal National Park and once in Sherabad, the town close to the Surkhan zapovednik, and, as this report is being written, the Project Board is meeting again in Sherabad.

47. While the annual workplans were presented to the Project Board, somewhat unusually for a GEF project, the annual workplans and budgets were approved by the UNDP-CO and not the Project Board. The effect of this on feelings of ownership of the project remains unclear but, if deemed feasible⁹, we recommend that the Project Board of future projects carry out this task. This would future engender the ownership of the project.

Item	Rating	Comment
IA & EA Execution		
Overall quality of implementation & execution	S	The project was implemented with only minor shortcomings. These relate mainly to the ownership issues (as described in the main body text). It is a testament to a well-implemented project that so much has been achieved with such a modest budget and a small, efficient team.
Implementation Agency Execution*	S	The UNDP-CO provided adequate support for the project however there were some minor shortcomings related to the UNDP-CO's relationship with the government and applying significant political leverage to see the Master Plan (and other strategies produced by the project) on their passage through to approval. In addition, the relationship between the UNDP-CO and the project team was not as open, trusting and respectful as we would have expected ¹⁰ .
Executing Agency Execution	S	The Main Department of Forestry in the MAWR provided space and in-kind support to the project. The Department also chaired the PB. However, there appeared to be ownership issues and the PIU operated as an independent unit within the Department rather than as part of it.

*While there may be some confusion about nomenclature, UNDP is taken as the Implementation Agency for this analysis.

⁹ In the case of this project, this might not have been feasible because of the size of the Project Board.

¹⁰ Comment from UNDP-CO on this observation in Draft 1 of the TE report: “Please, specify how this conclusion was made?” TE response: “This point was made by a number of independent interviewees who had observed the interaction between the project team and the UNDP-CO staff; it was not a statement made by the project team.”

3.2.2 Project staff

48. The project was implemented by a Project Implementation Unit (PIU) that was housed within the Main Department of Forestry within MAWR. The team was led by a National Project Manager (NPM), Mr Akmal Ismatov, supported by a National Technical Coordinator (NTC), Mr Sergey Zagrebin. The team was otherwise constituted by an Administrative and Financial Assistant (AFA), a Public Relations (PR) Specialist, a Driver and a Cleaner (see Table 3). Two international and a number of national consultants provided inputs into the project.

49. There was some criticism of the PIU in the MTE, namely that the NPM was aloof from the technical and financial aspects of the project and the project's progress (at least from a technical perspective) was overly dependent on the NTC.

50. By the stage of the TE and as far as can be ascertained in a short mission to Uzbekistan, the PIU appeared to be a coherent and tight unit. One measure of the close-knit nature of the team was the degree to which their personal and professional lives had become intertwined. And while it did appear that the NPM did take a lively interest in the technical and financial aspects of the project since the MTE, the project remained dependent on the NTC for all technical aspects of the project and the AFA for the administration and financial matters.

Table 3. The staff employed in the Project Implementation Unit (PIU) over the implementation of the project, their positions and their duration of employment.

Name	Position	Period of service
Akmal Ismatov	Project Manager	20/08/2008 - present
Sergey Zagrebin	National technical coordinator	26/12/2008 – present
Sanobar Khudaybergenova	PR Specialist (Part time)	01/08/2009 - 31/01/2010
Zokir Akhmedov	PR Specialist	16/08/2010-30/06/2011
Anvar Meliboev	PR Specialist	23/01/2012 – present
Khojiakbar Talipov	Admin-Finance assistant	02/11/2008 - 13/04/2012
Zafar Abdullaev	Admin-Finance assistant	07/03/2012 – present
Bakhrom Kurbanov	Driver	24/11/2008 – present
Barno Yuldasheva	Cleaner (Part time)	02/10/2009 - present

51. Because of the commentary in the MTE, we explored the relationships between the NPM and his team as deeply as possible. We came to a number of conclusions. First, the NPM and NTC are two very different people but that the project benefitted from this. In other words, the NPM fulfilled his role as project manager, as facilitator of project and political processes and, finally, as a well-connected person used those connections to garner support for project outputs. Second, the NTC did indeed work incredibly hard, he is a technically competent person and the project was fortunate to have him as a member of the team. Third, we believe that if the NPM took closer interest in the work of the NTC and the AFA, as was suggested in the MTE, it would have been perceived as unwanted scrutiny and the resulting mistrust may have

threatened the unity of the team¹¹. Fourth, the AFA who started with the project left in April 2012¹². His replacement was also competent and he was well supported by the team and NPM.

52. In summary, we believe that, fortuitously, the project brought together a unique and competent team. Indeed, the PIU has managed to take forward a very ambitious project, almost to its conclusion. For this they should be applauded.

3.2.3 Adherence to logframe

53. The logframe was changed twice over the course of the implementation of the project, first during the Inception Period – somewhat understandably as a result of the extended gestation period and, second, following the recommendations of the MTE.

54. There was some disconnect between the activities that the project carried out and the project’s logframe. For example, the logframe anticipated improved management across the nine zapovedniks in the country when in reality the project focused only on Surkhan zapovednik. We read this as being an aspect of the overambitious (if not unrealistic) nature of the project rather than a limitation of the project’s implementation. This does not mean that the project neglected the activities described in the logframe. Rather the project focused on the framework or enabling environment that, if implemented, will lead to the achievements of the targets anticipated in the logframe.

55. In summary, the logframe was treated as a guiding document for the development of the framework for the protected area system of Uzbekistan.

56. The logframe and the status of the indicators at the time of the TE mission is given in Annex 6.

3.2.4 Financial Planning

57. As mentioned above, the annual workplans and budgets were approved by the UNDP-CO (rather than the Project Board). This appears to have worked efficiently.

58. As is also mentioned below (and elsewhere) the project represents excellent value for money; many projects with similar objectives to this have cost many times more.

Table 4. The value of the project including the funding from GEF and sources of co-finance and leveraged funds (both cash and in-kind).

Type	Donor	Value (USD)
UNDP-managed grants	GEF	975,000
	UNDP	250,125
In-kind donations	Government of Uzbekistan	1,040,000

¹¹ UNDP-CO comment on draft report: “Which sources of information were referred to draw this conclusion?” *TE response: This conclusion was drawn from a number of interviewees who were well familiar with the Uzbekistan context.*

¹² There is no awkward reason for this; he simply had a better option to go on to.

TOTAL		2,265,125
Other funds (not managed by UNDP)	Michael Sukkov Foundation*	21,013
	UNDP-Turkmenistan	1,794

* Michael Sukkov Foundation providing three grants, two for study tours to Germany and a further grant for the development of the Information Centre for Sherabad.

59. Total disbursement to date is USD 1,018,701.88 which represents 86.7% of the expected disbursement (see Table 5). Thus, as predicted in the MTE, spending on the Project Management has remained over-budget (129.07% of the budgeted figure for the project as a whole but this represents a 150% overspend on UNDP funds on this budget line) but the overall spending has been relatively low, particularly given the fact that the anticipated project closure is 31 August 2013 (but, again, see the Section on Recommendations). There are some oddities regarding project spending and we are led to wonder where the discrepancy lies. Most notably, the spending on Outcome 1 – which is that the “Master Plan for [the] Protected Area System of Uzbekistan is guiding the expansion” – was well below projected costs. Obviously, the way this is actually worded (“guiding the expansion”) suggests that the project designers expected that the Master Plan would not only have been approved but implementation would be underway. As such, the underspend appears to be more a symptom of the overambitious nature of the project design than the underperformance of the project over its implementation¹³.

60. In the Section on Recommendations, we are recommending an extension to the project but our most significant to this recommendation is the budgetary aspects. There are constraints and limitations to the reallocation of funding and the project must comply with these. In contrast, during the TE mission, the UNDP-CO suggested that they could source funding (perhaps even from their core funds) to cover the costs of this extension. If so, then the appropriate funds can be allocated, as necessary, and the extension can proceed with little hindrance. This does mean that if there are GEF funds left over from the project, they will have to be returned to the GEF.

61. Not surprisingly, aside from the UNDP funds and the in-kind co-finance from the Government of Uzbekistan, the project did not enjoy significant co-finance. Given the political situation in the region over the years from the project’s conception, gestation and final implementation, this is hardly surprising¹⁴. It is, therefore, commendable that the project managed to raise some external funding (although the funding organization did not sign a co-financing letter).

¹³ It is interesting to note that the MTE requested a “re-model” of the project and that these budget issues remained to the potential closure of the project suggests that this was not done to any significant extent. It also suggests that the monitoring of project finances was not as detailed as it might have been.

¹⁴ UNDP-CO comment on draft report: “What was the basis for drawing this conclusion?” *TE response: The statement refers to the situation in the region – not Uzbekistan alone. In addition, Uzbekistan receives relatively little development assistance and the project coincided with a period when organisations such as the EU applied sanctions to Uzbekistan. See also <http://www.indexmundi.com/facts/uzbekistan/net-official-development-assistance-and-official-aid-received> which illustrates the drop in development assistance during the project’s lifetime.*

Table 5. The budget (as it appears in the annual, approved workplan) and actual expenditure, by Outcome and funding source, for the project.

	GEF			UNDP			TOTAL		
	Budgeted	Actual	%	Budgeted	Actual	%	Budgeted	Actual	%
Outcome -1	333,500.00	205,026.06	61.48%	50,000.00	12,447.01	24.89%	383,500.00	217,473.07	56.71%
Outcome -2	343,000.00	286,656.09	83.57%	-	-	-	343,000.00	286,656.09	83.57%
Outcome -3	228,500.00	250,296.63	109.54%	20,000.00	6,129.72	30.65%	248,500.00	256,426.35	103.19%
Outcome -4	70,000.00	63,065.39	90.09%	130,000.00	195,080.98	150.06%	200,000.00	258,146.37	129.07%
TOTAL	975,000.00	805,044.17	82.57%	200,000.00	213,657.71	106.83%	1,175,000.00	1,018,701.88	86.70%

3.2.5 Cost effectiveness

62. The project was implemented using UNDP procurement rules. As such, procurement of all services, materials and equipment, including consultancies and studies, has been made through transparent competitive tendering processes. Consequently, the project was assured of cost-effectiveness.

63. The project could award contracts or make purchases for goods and services for items less than USD 2,500 (for the majority of the project although the threshold has recently been increased to USD 5,000). The project used this facility creatively to ensure for rapid award of contracts for discrete pieces of work, particularly to national consultants, but ensuring that their cost fell below the threshold. Contracts were then allocated on that basis (but, nonetheless, as a result of a competitive bidding process). This should be applauded as it represents cost-effectiveness and adaptive management.

64. There were other ways that the project remained cost-effective. First, the selection of the members of the PIU was excellent (as described above). This meant that time and costs were saved because little additional training was necessary and the team was efficient. Second, there was a low staff turnover over the life of the project. Third, the team was very small – relative to the ambition of the project – and hence cost-effective. Finally, the team only travelled when necessary and used other means of communication effectively.

65. Overall, the project was ambitious – as ambitious as many similar protected area system projects that were (and continue to be) rolled out with financial assistance from the GEF. And yet, it was a MSP with a very modest budget. To boot, the PIU has managed to implement the majority of the activities described in the project document. In summary, therefore, the project represented outstanding value-for-money.

66. In addition, the project did manage to leverage funds during its lifetime. While these were relatively small amounts of funding, there were significant and had greater impact than their monetary value.

67. In contrast to the above examples of cost-effectiveness, a Toyota Hilux was purchased for use by the PIU. Over the course of the TE mission in Uzbekistan, this was the only Hilux seen by the international consultant. On closure of the project, this vehicle will be transferred to the government (and specifically to the Main Department of Forestry within the MAWR, which, it should be reiterated, is not a financially well endowed department). We believe that this vehicle will simply not be maintained once it has been transferred; this will be prohibitively expensive. Indeed, outside the office of the Main Department of Forestry is parked another foreign vehicle (a VW Passat), the legacy of another project. When there are suitable, locally manufactured vehicles available for purchase, why the decision to purchase the Hilux was taken remains a mystery but it is an example of very low cost-effectiveness!

3.2.6 Monitoring and evaluation

68. The project’s Monitoring and Evaluation Framework was extensive, adequately funded and included Quarterly Progress Reporting, Annual Progress Reporting (APR), the Project Implementation Reviews (PIR), Tripartite Reviews, Financial Reporting, Mid-term Evaluation and the current Terminal Evaluation. In addition, the National Project Steering Committee met twice a year. The project was visited

annually by staff from the UNDP Regional Technical Centre in Bratislava. The UNDP-CO made biannual visits to the project’s office and annual visits to the pilot site. In addition, the project used standard monitoring tools. In short, the project was not short of monitoring structures and processes.

69. There are two examples, however, of issues that suggest that, despite the monitoring structures and processes, the monitoring may have not been wholly efficient. What they also suggest is that thinking creatively and adaptively was limited. The first relates to the adoption and/or adaption of the WB/WWF Monitoring Effectiveness Tracking Tool (METT). Here there is an issue of imposition by the GEF as the METT is, of course, implemented in all UNDP-GEF protected area projects. While the rationale that underpins this is sound, there are two issues it raises in the context of Uzbekistan and this project. There is an existing system of monitoring the effectiveness of protected area management that is institutionalised in Uzbekistan¹⁵. It might not be perfect (but then neither is the METT), but in such contexts surely it is better to recommend a thorough analysis of the existing system, perhaps to incorporate the strengths of the METT, and to have it rolled out across the protected area estate than apply the METT and have it be forgotten as quickly as it came? That the METT was applied, therefore, in this project is a symptom of the unwillingness of project designers and recipient countries to challenge the impositions of the GEF and/or the superficial nature of project designs.

70. The second example relates to the awareness creation that occurred through the project. This was the result of the participatory nature of the project’s implementation but also because it was prompted by the MTE. And while the overwhelming feeling among the TE interviewees was that this was one of the areas in which the project had performed best, there are no data to substantiate such an assertion! When asked why no awareness monitoring system was implemented, the frustrating reply was “it was not mentioned in the project document”. As such, we **recommend** that future projects do not simply apply basic questionnaires to measure the success of awareness creation but they also seek to determine how the awareness (or training) has led to changes in behaviour in (or is being incorporated into the daily work program of) the target population. Such a strategy seeks to determine the *impact* of the awareness creation (or training program). In summary, despite the fact that it was not mentioned in the Project Document, the project team (as well as other monitoring personnel such as the UNDP-CO) should always be considering how their work (and particularly is it is leading to impacts) should best be quantified. This sort of adaptive thinking is from the realms where the Highly Satisfactory ratings lie¹⁶.

¹⁵ This statement was questioned by the project team on the draft report. However, this information was given to the TE team in no uncertain terms during their interviews. The point, however, is that there should be one methodology for monitoring the effectiveness of protected area management and that GEF projects should take into account any existing system and to either adopt it or adapt it or devise a hybrid version – whichever makes sense and whichever will be sustainably implemented.

¹⁶ Project team comment on draft report: “We see here a contradiction. On the one hand, the international expert says that the project is ambitious and has many tasks and goals, described in the prodoc. Each task has certain indicators to achieve the goal. But here, in this section, the expert says the project should have done more than described in the prodoc, and in addition, assess impact. In our view, the project must first of all have done what was written in the prodoc and only afterwards to take other responsibilities. Usually all projects are strongly in line with activities stipulated by the ProDocs. To apply optional activities, there should be a strong justification, which can be stated in the initial project design.” *TE response: The principal thrust for awareness creation came following recommendations in the MTE; it may be that the MTE should have also recommended monitoring its*

71. It is the nature of the project (which largely produced strategies and an enabling environment) that there was little quantitative monitoring; the majority of the monitoring and reporting was qualitative.

Item	Rating	Comment
M&E		
Overall quality of M&E	S	The M&E and reporting structures and processes were appropriate, albeit that they were largely qualitative rather than quantitative.
M&E design at project start-up	HS	The design followed (and did not deviate from) the M&E structures and processes that are commonly seen in projects across the globe. These were appropriate.
M&E plan Implementation	S	There were only minor shortcomings to the implementation of the monitoring plan – not that any aspects of the monitoring plan were not done – but that the monitoring failed to recognise areas in which the project was straying (e.g., in project management costs). Project teams should also, adaptively, consider how their work should be best quantified even if it was not mentioned within the project document.

3.3 Project Results

72. Despite the constraints faced by the project team, particularly with reference to the project’s budget, the project has quite remarkably delivered on many of its planned outputs. On occasion and through the leveraging of further funding, it has gone beyond the plan.

73. After what has been described as an “ineffective” Inception Period and given the state of confusion at the beginning of the project, with the international consultant for protected area planning, the PIU worked to draw up a workplan with projected sequencing. To a large degree this worked and the project has flowed from technical analyses to strategy development to submission of those strategies for approval (and, hopefully and ultimately, for implementation). There were occasions when the sequencing broke down. For example, the business plan for Surkhan zapovednik was ready *before* the management plan was underway; obviously, the business plan should be part of and respond to the management plan.

3.3.1 Attainment of objectives

74. As indicated in Section 2, the overall goal of the project was “to demonstrate new management approaches for expansion of protected area system of Uzbekistan¹⁷”. Under this overall goal, the project has achieved considerable success in some of its outputs. Here we list the most notable:

75. *The “Master Plan”*. The Master Plan (or more properly titled “*Program of creation and expansion of network of protected natural areas in Republic of Uzbekistan for the period of 2014-2023*”) has been developed and submitted to

impact (for achieving impact is the purpose of GEF projects) – but it would not have been beyond the scope of the project team to implement monitoring activities.

¹⁷ There is a discrepancy between the CEO Endorsement document and the UNDP Project Document at the goal and purpose level for the project. The PIU used the CEO Endorsement document to guide project implementation.

various government organisations for approval. At the time of the TE mission in Uzbekistan, the project had managed to secure endorsements from four (out of a total of seven) relevant organisations; three remained and it appeared positive that the fifth signature and hence approval would be granted in the few days following the TE mission (from Ministry of Economy). The remaining Ministries are the Ministry of Finance and the Ministry of Justice. Once these two signatures are secured, the document, with accompanying endorsements, will be submitted to the Cabinet of Ministers.

76. It is notable that once the Master Plan was first submitted, it had to be significantly amended to conform to the correct structure and format. Principally, the main body of the document was reduced. This is no bad thing as this makes it much more accessible and readable. The Master Plan advocates a phased approach. This is, of course, a very sensible approach and one that the government would have otherwise have insisted upon.

77. It is also notable that the Master Plan is the culmination of a great deal of work, the majority of which was of the very highest standard. One good example was the Gap Analysis. Arguably, it may not have been the most sophisticated of analyses¹⁸, but it had various key positive elements: i) it was owned by the stakeholders who carried out the work and ii) perhaps despite the slight technical shortcomings, the product was nonetheless credible. The Master Plan also incorporates other important components: i) a financial sustainability plan, ii) capacity and institutional development plans, iii) the structure and process for protected area management planning, and iv) a template for a site-level business plan (based on the experience in Surkhan zapovednik – see below).

78. The *processes* by which the Master Plan and its components are important learning tools. We are aware that the national consultants who carried out the Gap Analysis are currently writing a report that describes the process by which the analysis was conducted. Such an exercise will ensure that the lessons learned from the process, itself, will be learned and it will offer the opportunity for replication across the region and elsewhere in the world.

79. Furthermore, we believe that the analytical process of incorporating the distributional data of fauna and flora (as well as other spatial data layers) to derive the final proposed protected area expansion map (see Annex 4) is worthy of publication in an international conservation journal (e.g., *Oryx*) and we urge the project to facilitate this process.

80. *The Protected Area Ecological Monitoring System.* First, this should be understood to be separated from the METT. The Monitoring System is designed to monitor the biodiversity of the protected areas and it is designed both to monitor aspects of biodiversity across all protected areas (thereby allowing for comparison across the protected area system) as well as monitoring the unique species which may be more important in a given protected area. In other words, the system will monitor the actual impact of the protected areas and, overall, the protected area system on the biodiversity it is supposed to protect. As with the Master Plan, this is an important output of the project but, again as with the Master Plan, there are implementation and sustainability issues (see Sustainability section).

¹⁸ The majority of equivalent gap analyses use Marxan as the tool by which to carry out the analysis.

81. *The development of a management plan template for protected areas in Uzbekistan.* The project developed a specific format and transparent and effective process for the development of management plan (including financial/business planning and participation of local communities) for protected areas in Uzbekistan. This was approved by the Ministry of Justice (#2325, dated 06/02/2012) and as such the template and process has become mandatory for all strict nature reserves and national parks in the country. The process of replicating this across the protected area estate has begun, starting with the Ugam-Chatkal protected area complex (thus, including the Ugam-Chatkal National Park and the Chatkal zapovednik) and with Gissar protected areas.

82. *Participatory approaches.* The project adopted participatory approaches for all aspects of its implementation. The establishment of a broad Project Board with excellent representation of this is one example of this; the process of successfully establishing the buffer zone around Surkhan zapovednik – with the inclusion of local people and authorities in the process – is another.

83. *Facilitating coordination and communication among protected area agencies.* We have already mentioned the functionality and success of the Project Board in bringing together the key stakeholders, including the four agencies with a mandate for the management of protected areas in the country.

84. *Increased awareness.* Notwithstanding the issue with quantifying the increased awareness and its impact (as described above), without exception, the interviewees during the TE process stated that awareness had increased at all levels. The project achieved a number of key successes, particularly notable because they occurred within the context of Uzbekistan, including i) publications in national newspapers, ii) blogging project progress, iii) the establishment of the Information Centre in Sherabad (rightly targeting local people and primarily school children) and iv) the successful application of an art competition among the local schools in the vicinity of Surkhan zapovednik. However, it was the participatory approaches, described above, that may have had the most significant impact on increasing awareness.

85. *The establishment of the buffer around Surkhan zapovednik.* Surkhan zapovednik was the principal demonstration site for the “new management approaches”. What this actually meant, in practice, was that a buffer zone was to be established around the zapovednik but, of course, the project went much further than that.

86. The buffer zone was successfully established. Rightly, this was an intensively participatory process, including the decision of where the buffer zone’s boundary should lie. In order to ensure that alienation was minimized, the proposed buffer boundary was walked in its entirety with the stakeholders with each step along the way agreed (see Annex 4).

87. The project did not only focus on the establishment of the buffer zone but there was also trainings, the development of a management plan, the provision of equipment and infrastructure (see Annexes 7 and 8) and the development of an Information Centre in Sherabad. There was some exploration to diversify livelihoods among local communities in the area (away from the livestock based livelihoods that have been dominant among the local communities). We could explore these in detail but we believe that the project’s final report will explain them fully. What we wish to do here is to examine the aspects that warrant replication and the lessons that should be learned from the processes.

88. First, the very process of establishing the buffer zone around the zapovednik is worthy of examination. The republics of the former Soviet Union all contain equivalent zapovedniks around which buffer zones are more or less necessary. As such, the process of establishing the buffer zone around Surkhan zapovednik is not only relevant for other zapovedniks in Uzbekistan but for all CIS countries. Indeed, given that more or less successful attempts to establish buffer zones around zapovedniks have already been made across the CIS, it may be **worthy of a lessons learned analysis** that could be led by the UNDP Regional Technical Centre in Bratislava. The analysis could determine what works and what does not work for future projects across the CIS, of which doubtless there will be many, when it comes to buffer zone establishment. As is noted later in this report, the project already took steps to inform and catalyse replication (e.g., in Turkmenistan) and there is much enthusiasm across Uzbekistan to learn from the Surkhan demonstration.

89. Second, the provision of equipment and infrastructure to Surkhan zapovednik proved to be beneficial because it redressed the balance between the rather intangible outputs of management planning and training, and the tangible needs of the management of the area. Indeed, before the delivery of the equipment, the Director of the zapovednik appeared sceptical of the project and its outputs of the training and the development of the management and business plans – with all the accompanying workshops. Therefore, in situations such as Uzbekistan where capacity (in every sense of the word) is very low, projects should **consider striving for a balance between the intangibles (“soft”) outputs and the tangible (“hard”) inputs**. If this is done relatively early on in a project’s life (e.g., after a rapid needs assessment), a project could secure sufficient good will to ensure enthusiasm for the processes to develop the “soft” outputs. This, ultimately, represents a pragmatic compromise with protected area managers who often have no equipment with which to manage their areas.

90. *Piloting processes to diversify livelihood strategies.* The project worked with local communities to diversify their livelihoods. Specifically, the project provided fruit tree seedlings. While this was successful and embraced by the local communities¹⁹, in global terms this is very interesting. The fruit trees were planted within the buffer zone. Across much of the globe, this would represent a rather frowned on introduction of exotic species. However, when you live in a centre of diversity for various fruit and nut tree species, you have a distinct advantage over many areas of the world where the diversity of fruit and nut trees might still be large but they are not the globally marketable species.

91. In contrast to the achievements described above, the project also fell short in some areas. These are briefly described and discussed below.

92. *Falling short relative to project design.* The project design envisaged that the strategies would not only be developed and approved – the stages on which the project has focused – but it also envisaged some implementation (hence the use of the phrase “*guiding the expansion*” as the goal of Outcome 1 and also all of Outcome 2). In other words, the project has produced the plan for many aspects of the protected area system – including i) the expansion of the protected areas to become more representative of the ecosystems of the country but also to achieve the global target

¹⁹ The only caveat that we note here is that the degree of enthusiasm was reported to us through other people – because as noted earlier in the report, we were unable to travel to Surkhan zapovednik and its new buffer zone to verify this type of information.

for nations (under CBD), ii) a monitoring system, iii) a management planning process and management plan template and iv) a financial sustainability plan. However, outside of the demonstration site of Surkhan zapovednik, the project has implemented little of these strategies and plans. We conclude that the issue here is more to do with an overambitious project design rather than a failure of the project to deliver. It does raise the issue of implementation of the plan (as discussed at length in the Section on Sustainability).

Item	Rating	Comment
Outcomes		
Overall quality of project outcomes	S	There were minor shortcomings to the products produced by the project and the outcome delivered regarding Surkhan zapovednik and its new buffer zone. If (or when) the Master Plan is approved by the Cabinet of Ministers and other implementation solutions are found for all the project's products, this will shift to a project with no shortcomings. There were, of course, shortcomings to the project design but the reasons for this are convoluted and complex, and lessons have already been learned from this and similar projects.
Relevance	HS	The project's products and outcomes are very relevant to the development and conservation context of Uzbekistan and the region in general. There are wide ranging (across the CIS where there are equivalent zapovedniks) implications of the lessons learned from the establishment of the buffer zone around Surkhan zapovednik. The Master Plan, once implemented, will assist Uzbekistan fulfil its international and national commitments as well as conserve globally important biodiversity.
Effectiveness	S	The project has been effective in delivering results – obviously limited only by the government approvals that are pending. If these are not delivered, the risk assessment for the project was inaccurate or the mitigation strategies inadequate.
Efficiency	HS	The project has shot well above its budget and staffing levels: this is a testament to its efficiency.

3.3.2 Replication

93. Separating “replication” and “catalytic role” in the context of this project is a little challenging because its primary premise was to establish an enabling environment for protected area expansion and management across Uzbekistan's protected area estate. As such, we discuss this later in depth (see Section on Catalytic Role) and here we only discuss the direct examples of replication that have already occurred and will continue to happen.

94. First, members of the PIU travelled to Turkmenistan specifically to share their experiences with the development of the Master Plan (with all its sub-components including the gap analysis). Turkmenistan is now adopting the process for the development of their own equivalent plan.

95. Second, there is significant interest in the replication of the process to establish buffer zones around the other zapovedniks in Uzbekistan and, as mentioned above, this has the potential to be replicated across the CIS countries.

3.3.3 Country ownership

96. The description of the formulation of the project suggests that, at its outset, there was a good level of country ownership. The concept for the project arose out of the National Biodiversity Strategy and Action Plan (NBSAP) which had been endorsed by the Cabinet of Ministers in April 1998 (Agreement #139 of the Cabinet of Ministers). Thereafter, Goskompriroda, its Department of Gosbiocontrol, and the Academy of Sciences, produced a joint initiative to UNDP for a PDF-A. However, from that point, the project's design was subject to externalities and particularly the changing priorities of the GEF. This suggests that there was a progressive loss of ownership.

97. Indeed and in addition, a number of interviewees suggested that the government felt compelled to expand the protected area estate because they had signed up to the Convention for Biological Diversity (CBD) and “it was a requirement”. This rather than the idea that it might be something that they would want of their own volition. Further, there is the perception that protected areas represent undesirable “non-productive land” or “land out of production”²⁰.

98. In conclusion, the will to have an expanded and well-funded protected area system (given that the primary funders of the system, at least for the foreseeable future, will be the state) is not very strong.

99. In terms of implications for the project, as the Master Plan is ushered through the ministries and, ultimately, the Cabinet of Ministers, it has and will continue to require additional effort and resources to (re)persuade people that this is a concept that they will to see implemented in Uzbekistan.

100. There were other manifestations of the poor ownership during the course of the project. The former Director of Surkhan zapovednik was initially obstructive to the project (as indicated above). He reportedly had “a weak understanding and expectations of the project.” This is certainly an indication of the lack of ownership of the process.

101. The situation is very different in other CIS countries where the government feels in control and thus retaining ownership of GEF projects. In some countries, this is a function of a thriving relationship between the UNDP-CO and the organization(s) with the mandate to manage protected areas. These relationships are built on trust, good and open communication, and good planning. In short, they are founded on a solid partnership. It was far from clear that this was the situation in Uzbekistan and we would urge the UNDP-CO to work on their relationship with the government agencies and, consequently, the agencies' feeling of ownership over these projects²¹.

²⁰ The project team, in commenting on the draft report, asked: “Are there examples when government[s] feel the need to create PAs, takes the decision and create such areas from the state budget?” *TE response: Yes, indeed (e.g., in September 2003, the President of Madagascar announced his commitment to triple Madagascar's protected areas in five years at the World Parks Congress in Durban, South Africa). That the project team asks this question is revealing!*

²¹ UNDP-CO comment on draft report: “What made Evaluator to make this conclusion?” *TE response: While the TE team acknowledges that this is a relative statement, we believe it is a valid and important comment. First, we specifically asked government partners about the relationship with UNDP and ownership of the project. The reported view was supported by all interviewees. Second and further, we believe that the UNDP-CO would learn lessons from other CIS countries.*

3.3.4 Mainstreaming

102. Mainstreaming biodiversity was not the objective of the project. Rather, the project’s objective was the expansion of the protected area system. It may be necessary, in the future, to focus on mainstreaming protected areas, particularly at the level of local authorities (both rayon and oblast). This will secure the support of local authorities in protected areas – something that has repeatedly proven important in many countries across the globe.

3.3.5 Sustainability

103. With remarkable efficiency, the project has delivered a series of strategies and a framework for the expansion of the protected area system of Uzbekistan. It has managed to do this with a small, efficient team with a relatively modest budget. With such a small team, modest budget and four years to implement an ambitious project, it would have been impossible to consider any form of implementation of the strategies that the project has developed.

104. This means, of course, that the implementation of the strategies – and hence sustainability – is dependent on externalities (namely the approval by the Cabinet of Ministers which is) largely beyond the control of the project. As a consequence, in the months before closure, the project and the UNDP-CO should strive to bring all the threads to a conclusion thereby increasing the chances that the strategies developed by the project will be implemented.

105. There are numerous “threads”:

- a. The Master Plan, the pivotal output of the project, awaits approval by the Cabinet of Ministers. With less than three months of the project remaining, it has yet to be submitted to the Cabinet of Ministers and it is impossible to predict either the outcome or the length of its passage with them. However, if – and that remains a significant if – it is approved, then the state will be obliged to implement it, at least in some form.

While we believe that the project – and particularly the NPM – has a good grasp of the strategies that should be deployed to enhance the chance that the Master Plan is approved in the relatively near future, we also are aware that the UNDP-CO may have a crucial role to play. It should be recalled that despite the comments made in the “Country Ownership” section above, the Government of Uzbekistan did endorse the project five years ago. Now that the project has delivered what they endorsed, they should be reminded that this was what was desired as the project was starting. This message might be best communicated by the UNDP-CO.

Finally, it is difficult for us to predict whether or not the Master Plan will be approved by the Cabinet of Ministers. Not one interviewee over the course of the TE mission stated unequivocally that it would be approved; but equally, neither did anyone state that it would not. However, given the degree to which the environment sector and protected areas in particular are disempowered and marginalised, there is a possibility that it will not be approved (or perhaps further amendments will be demanded to reduce its scale). In order to prepare for this possibility, we recommend that the

project spend time to develop a short contingency plan that lays out the options if the Master Plan is not approved, either in part or in its entirety²².

One immediate and good opportunity to ensure some level of implementation is the current development of the second edition of the National Biodiversity Strategy and Action Plan (NBSAP II). The Master Plan should be the central pillar of the protected areas section of the NBSAP II; the UNDP-CO can ensure that it does become this.

Beyond the Master Plan, the NBSAP II presents an opportunity to ensure implementation of all strategies developed by the project.

- b. The Monitoring System²³, while complete, neither has an institutional housing nor has it funding. Again, to improve the likelihood that it will be implemented, the project should seek its final approval and agreement on where it should be housed and that, perhaps in a phased approach, it will be funded.

On the subject of the Monitoring System, we have already mentioned the issues of application of the METT (see Section on Monitoring and Evaluation above). We reiterate that because Uzbekistan has an existing and equivalent system of monitoring management effectiveness, it is very unlikely that the METT will become institutionalised across all protected areas in the country²⁴. Consequently, we recommend that a future project seek to analyse both systems, drawing off both their strengths, to end up with a functional and contextually appropriate system that will be institutionalised.

- c. The Project Board has been a unanimous success in bringing together the protected area agencies and engendering communication among them. It was so successful that, without exception, the people interviewed over the TE mission suggested that it continue in one form or another, perhaps as a “Protected Areas Coordination Body”. Ideally, the government would institutionalise such a Coordination Body – as has been already agreed by the Project Board and as the documents already prepared by the project team stipulate. These documents will be forwarded to the Goskompriroda for endorsement.

We have no feeling on whether this would be an initiative that the Government of Uzbekistan would be able to finance from the moment of the closure of the project although apparently the documents prepared by the project team make suggestions for financing the Coordination Body.

106. At the level of the demonstration site, Surkhan zapovednik, we have a number of concerns as well. Here the concerns are primarily financial and whether the zapovednik will be adequately funded, taking into account their greater capacity and, consequently, the need for a larger budget. The needs include: i) implementation of the management and business plans and ii) the cost of maintaining (and eventually replacing) the infrastructure and equipment that the project provided (i.e., building

²² Project team comment on draft report: “This has already been defined in the project’s exit strategy.”

TE response: Good news.

²³ And here we are referring to the system for monitoring biodiversity in the protected areas and not the METT or any equivalent.

²⁴ Please see Paragraph 69 and Footnote 15 for further discussions on this.

depreciation into budgets). It is here that the project should be working closely with the local authorities (at both rayon and oblast levels) to ensure their support and to ensure that they also mainstream the costs into their annual budgets.

107. One example of a simple and successful initiative of the project’s was the organization of an art competition among the schools in the areas surrounding Surkhan zapovednik. However, as the project approaches its closure, this begs the question of whether any further art competitions will be held in the area. While the interviewees suggested that they would be, this remains to be seen. We recommend that UNDP-CO monitor the situation in Surkhan²⁵ and that other post-project monitoring continue as indicated in the project’s exit strategy.

108. In conclusion, as can be seen from the above discussion, there are a number of sustainability concerns that pivot around whether the strategies that have been developed by the project will actually be implemented. In the coming months, before its closure, the project must work to try to secure commitments to implement these strategies and even strive for those solutions and agreement that makes the implementation obligatory (albeit in a phased way). The primary concerns revolve around commitments from the government to implement the strategies and to finance them adequately. That being said, if the strategies and plans that have been developed by the project are included in the Resolution to be adopted by the Cabinet of Ministers and if it is indeed adopted, then their implementation becomes obligatory – thereby securing the sustainability of the project’s work.

109. One concern that arises from these processes is the inaccuracy of the risk assessment in the Project Document. The risk assessment does not even mention the expansion of protected areas; it does mention, as a risk, the government’s supportiveness. This is rated as being a Medium risk and offers a handful of risk mitigation strategies. That the project is currently under three months from closure (and then after two extensions) and that this issue still persists suggests that the risk assessment was inaccurate or the mitigation strategies inadequate.

110. Because we did not visit Surkhan zapovednik, it is difficult to make any comments about the socio-economic impacts among the local communities. Here, we urge the UNDP-CO to be vigilant and to monitor the situation as closely as possible (perhaps, again, using civil society actors).

111. We do note that there are other emergent issues in Uzbekistan. The pool of experienced and qualified people in the fields of conservation, biology and protected areas is shrinking – leading to an even less capacitated sector. This is not uncommon either in Central Asia or, indeed, elsewhere in the developing world. However, it is something about which both the government and also the UNDP-CO should remain vigilant. It will be necessary to invest in developing the capacity of the sector but we recognise that while the sector remains disempowered and marginalised, it is not very attractive for young people. There is a counterpoint to this bleak picture: in Surkhan zapovednik, because employment opportunities are so scarce, young people are still attracted to carry out protected area work. We assume that this is true of other remote areas around the country.

²⁵ We suggest that this is a task that a non-governmental organization (NGO) may be able to do, probably with support from the UNDP-GEF Small Grants Program (SGP). If the art competition is not being organized, the NGO could work with the local and zapovednik authorities to organize it. The monitoring carried out by the NGO could go beyond this – e.g., to extend to ensuring the sustainability of the livelihood interventions.

112. The final word on the subject of sustainability is that we did encounter and example of very poor planning – which will subsequently lead to poor cost-effectiveness and poor sustainability. The project’s vehicle is a Toyota Hilux. While doubtless it was a functional vehicle for the project (e.g., ability to drive off road, ability to transport cargo, etc.), over the course of the TE mission in Uzbekistan, this was the only Hilux seen by the international consultant. On closure of the project, this vehicle will be transferred to the government (and specifically to the Main Department of Forestry within the MAWR, which, it should be reiterated, is not a financially well endowed department). Because of the cost and difficulty to access spare parts, it simply will not be maintained once it has been transferred to the MAWR. As such, it will be used for a period of time until such time as a spare part is required. At that point, it will join another unsuitable vehicle from yet another project parked outside the offices of the Main Department of Forestry. Therefore, we ask two things: i) that in the future projects do not procure unsuitable vehicles; there are plenty of suitable and equivalent vehicles (e.g., the Chevrolet Captiva) that can be relatively cheaply and easily maintained, and ii) if at all possible (and using some creative thinking), that the UNDP-CO try to find a solution for the project’s Hilux so that the Main Department of Forestry ends up with a suitable vehicle and the Hilux is taken on by a person or organization with the ability to maintain it more easily than the Main Department of Forestry.

Item	Rating*	Comment
Sustainability		
Overall likelihood of risks to sustainability	ML? ²⁶	There are difficulties trying to predict the likelihood of sustainability: the project designers underestimated the risk associated with approval of the project’s outputs. No single interviewee could state with confidence that the outputs would be approved and implemented. This reflects, perhaps, the capricious nature of approval processes and that approval may be independent of the efforts of the project team to influence it. Given that approval is closely linked to obligatory financing, we have lumped them together.
Financial resources		
Socio-economic	?	We are unable to rate the socio-economic sustainability with any accuracy because we were unable to travel to Surkhan zapovednik. It is in this area that socio-economic sustainability is the most important. However, if the participatory processes that were so successfully applied in this project are scaled-up, it will significantly improve the likelihood of socio-economic sustainability.
Institutional Framework and governance	MU	There are so many complexities to the

²⁶ The project team questioned the use of the question mark here in the draft report. *TE response: The question mark reflects the difficulty in rating the likelihood of overall sustainability when it appears to be dictated by the whim of the Cabinet of Ministers rather than by reason. They will either approve the Resolution (thereby guaranteeing the sustainability) or they will not, and no one could say with any confidence which way it will go. Even with the contingency plans in place, if the Resolution were not approved, the sustainability would never be guaranteed. We have rated it as Moderately Likely in recognition of the work that the project team has already put in in securing signatures and agreements from different government agencies.*

		institutional framework (e.g., four agencies with the mandate to manage protected areas) and dealing with them was beyond the scope of the project. In addition, some of the plans (e.g., the monitoring system) have no institutional plan. Consequently, we believe that achieving institutional sustainability in the short-term (and without further interventions) to be moderately unlikely.
Environmental	ML/MU	Coupled with the issues of institutional sustainability is the degree to which the environment and protected areas in particular are disempowered and marginalised. And yet, it is possible that there will be some form of approval of the Master Plan even if it is not in its entirety. As such, it is, once again, profoundly difficult to make predictions with any confidence.

* As per *Guidelines for GEF Agencies in Conducting Terminal Evaluations* and *UNDP Evaluation Guidelines for GEF-Financed Projects*, sustainability is rated as: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), Unlikely (U), Highly Unlikely (HU).

3.3.6 Catalytic role

113. The principal premise for the project was to establish a framework or enabling environment that will lead to an expansion of the protected area system of Uzbekistan and to increased capacities to manage that expanded protected area estate. Over the course of project implementation, there has been little catalysis simply because the project has been focussed on actually preparing the materials for the framework. This is equivalent to the discussions, above, that the project has not implemented any of the frameworks that it has been developing. As with these implementation issues, it has been well beyond the capacity (in terms of manpower, time and budget) of the project to catalyse activities elsewhere.

114. However, in the broader interpretation of the project’s catalytic role, it has worked to production of a public good, it has successfully implemented a demonstration site and there has been take up of the project’s processes elsewhere – thus, replication.

115. All the strategies that the project has produced and which are poised for implementation (subject to their approval) can be defined as “Production of a Public Good”. If implemented, their impact will be profound and wide-ranging.

116. The work done in Surkhan zapovednik and its newly established buffer zone was done specifically to act as a demonstration for elsewhere in the protected area system. Indeed, a number of stakeholders have already expressed their interest in the process to establish the buffer zone, in particular.

117. Finally, as noted in the Section on Replication, there has already been take-up and replication of the project’s concepts and processes.

118. We anticipate that, in the longer-term and on approval of the strategies and the Master Plan in particular, the project will lead to scaling-up across the protected area estate of Uzbekistan.

Item	Rating	Comment
Catalytic Role		
Production of a Public Good	HS	As described in the main body text, the outputs of the project and the work carried out in and surrounding Surkhan zapovednik represent both the production of a public good and a demonstration. Further, not only has there been some replication but all the other zapovedniks are eager to learn from the process carried out in Surkhan. And then if the Master Plan is approved and implemented, and if the Surkhan demonstration is scaled-up, the protected area system of Uzbekistan will be in a significantly better state than before.
Demonstration	HS	
Replication	S	
Scaling up	MS	

3.3.7 Impact

119. The project has worked to establish a framework for the expansion and improved management of the protected area system of Uzbekistan. The majority of what it has done, therefore, is produce documents – with the exception of the work that it carried out in Surkhan zapovednik and its newly established buffer zone. As such, it cannot have yet had any impact across the protected area system. If and when the strategies are implemented, then it will have a lasting impact on the biodiversity, ecosystems and ecological processes in the country.

120. At the demonstration site level, however, there are signs of impact. Very practically, there is a demonstrated reduction of poaching (in 2011, there were 12 cases of poaching, in 2012, there were 26 cases and to date in 2013, there have only been two cases). This can be directly attributable to the provision of cameras by the project to the zapovednik inspectors, as they now have the ability to prove, through photographic evidence, the presence of the poacher. (Previously, without such photographic evidence, it was a case of their word against ours, and the magistrates apparently tended to favour the poachers).

121. There are two other areas where there may have been impact but, unlike the poaching data, there has been no quantification of the impact. The first is the improvement in awareness and the second is the socio-economic impacts through the provision of fruit trees to local communities. We have already discussed the issues with the absence of monitoring data on awareness (or, as mentioned above, on the *impact* of improved awareness). However, we caution against thinking that providing alternative livelihood strategies simply results in reduced dependencies on natural resources and, thereby, having positive impacts. Too often, “alternatives” are provided and in fact rather these become *additional* strategies with people continuing to harvest natural resources while taking up the additional strategies as well.

4 Conclusions, Recommendations and Lessons

122. This project set out on an ambitious path to change the protected area system of Uzbekistan. The project design was undermined by a long gestation period and changes to GEF priorities and it resulted in being overambitious and complex while the team and the budget were both relatively modest.

123. Despite these limitations, the project has achieved a remarkable amount. It has managed to complete all the technical work that it set out to do and the strategies are now complete. Because the project (justifiably) limited itself to production of the strategies, there is little measurable impact of the project at present.

124. All that now remains is to secure approval for the strategies that it has produced, and to secure government commitment to implement the strategies. The success (or otherwise) of the project, therefore, hangs in the balance and the forthcoming few months are critical to consolidating the successes that the project has had. If it does not manage to persuade the government to approve and commit to implement the strategies then much will be lost – primarily because the barriers to effective management of the protected area system remain.

Item	Rating	Comment
Overall Project Results	S	At present and because much still hangs in the balance, we have rated the overall project results as satisfactory. Of course, if the Master Plan (and the other strategic documents and plans) are not approved, then the results of the project become quite disappointing. However, we have recommended a further extension of the project in the hope that this will enable the project team to shepherd the Master Plan (and other documents) through the processes of their approval. If they are indeed approved then this will be a highly satisfactory result. We also recommend that the TE team is reconvened to finalise this rating at the end of the project.

4.1.1 Recommendations

125. *Extend the project.* There are two overriding recommendation: the first is that the project be extended until such time as the strategies that have been developed over the course of the project are approved (or otherwise) by the Government of Uzbekistan. The extension would be to give as great a chance for the loose ends (as described above, primarily in the Section on Sustainability) to be tied up. The corollary of this is that it would be disappointing to see the project close before the approval of the strategies because if the approval is not given before the closure of the project (with the lobbying and gentle coercion that the project and its allies apply), the likelihood that the strategies are approved after it has closed is significantly lower.

126. Currently, the project is due to close on 31 August 2013. We recommend that the project should be extended until 30 April 2014 – if that is possible because there are a number of clarifications that need to be sought. These will determine when the final closure date can be:

- a. The extension of the project will be at no additional cost from the GEF. Discussions with the UNDP-CO indicate that they may be willing to finance the project extension if the need for additional funding arises. At present, there have been a number of “savings” and the PIU (and specifically the AFA) estimates that the project will be able to be financed until the end of 2013 (at the very least) with a no cost extension from any donor (including the GEF and the UNDP-CO).

We recommend that the PIU immediately develops two scenarios, each with a workplan and a budget. Scenario One is that the project be extended until 31 December 2013; Scenario Two is that the project be extended until the end of the current financial and contractual year – thus, until 30 April 2014. Once these two scenarios are developed, they can be analysed against the existing funds and against any funds that the UNDP-CO may be able to use to determine whether there are financial reasons that may limit the extension of the project.

In addition, if the existing project funds are to be used, there are limits to reallocation of budgets; any reallocation to facilitate the project’s extension must fall within those limits.

- b. The GEF, itself, may impose a limitation to the extension of the project and guidance should be sought from the UNDP RTC in Bratislava and UNDP in New York as to whether a project extension is even a possibility.
- c. This evaluation presents a limitation. The GEF’s policy for Terminal Evaluations is that they should occur within six months of the closure of the project. Thus, if the project can be extended until 30 April 2014, rather than have to conduct a second Terminal Evaluation, we propose that the current evaluation team reconvene in Uzbekistan in April 2014, just before the closure of the project, to reassess the its status at that point.

127. The final word on the project extension is this: it would be surely very disappointing and damaging to extend the project and then to find, in some months’ time, that the situation has not changed.

128. *Integrating the Master Plan into the upcoming NBSAP II.* The second overriding recommendation is that the components of the Master Plan are integrated into the second edition of the National Biodiversity Strategy and Action Plan (NBSAP II). This has now been worked into the project’s exit strategy. Of course, it would be ideal for *both* the approval of the Master Plan and other strategic plans by the Cabinet of Ministers *as well as* have them be integrated into the NBSAP II but if the Master Plan is not approved or only a portion of it is approved, the NBSAP II presents an opportunity to ensure that important components are implemented.

129. *Conclude the outstanding key tasks.* Aside from the passage of the Mater Plan through the Cabinet of Ministers (in which the UNDP-CO has a key role when government is stalling over approval of policy, strategies, legislation or programs: after all, the government was original proposer and owner of project), there are a few tasks that remain to be completed. Irrespective of when the project is rescheduled to close, the project team should strive to complete all those tasks that are dependent on them. One example of an outstanding task is the publication of how the Master Plan was developed. Thus, this is a methodological paper that documents the process of developing the Master Plan.

130. In addition to this, we also recommend the publication of the analytical aspects of the gap analysis and how this resulted in the map of expanded protected areas across Uzbekistan in an international conservation journal (e.g., *Oryx*).

131. Another key task is to find an institutional home for the Biodiversity Monitoring System that was designed under the auspices of the project²⁷. Currently the System has neither an institutional home nor funding.

132. Some small, additional things such as guidebooks (e.g., bird guides) could be procured for Surkhan zapovednik. These are small things but they have the potential to continue to make the jobs of the people working in these areas more interesting.

133. *Develop contingency plans.* As indicated in the Section on Sustainability, it is difficult to predict with any level of certainty whether the Master Plan (or any of the other strategic documents or plans) will be approved. The project team should work on contingency plans that are realistic and which could be implemented if that approval is not forthcoming²⁸.

134. *Institutionalise a Coordination Body.* The Project Board has been a unanimous success but it needs to continue in the form of a Coordination Body. There are a number of different ways of ensuring the persistence of the Coordination Body; the route taken simply requires agreement.

135. *The UNDP-CO must continue to monitor the impacts of the project.* There are a number of ways of doing this – for example through the provision of small grants to non-state actors. This is particularly important at the site level with Surkhan zapovednik²⁹.

136. *The future.* Whether or not the strategies developed by the project – and particularly the Master Plan – are implemented will have significant impacts on the future. However, *if* they are, then there will be opportunities for future UNDP-GEF project to catalyse the implementation of the strategies. To this end, we recommend that the UNDP-CO works with the project staff and with partner agencies within the government to identify the priorities and start the process of developing a future project. The dialogue should also re-examine the barriers to effective management of the protected area system and to determine what practical actions could be taken in a future project to overcome these barriers.

137. One of the remaining barriers is the continued existence of four government agencies all of which have mandates for protected area management (notwithstanding the success of the Project Board to bring these agencies together and allow for cooperation and communication). However, without exception, people interviewed over the course of the TE mission in Uzbekistan stated unequivocally that this institutional arrangement remained one of the significant barriers to the effective management of the protected area system.

138. *Role of the Project Board.* Unless there are specific reasons why the UNDP-CO carried out the role of formally approving the annual workplans and associated budgets, we recommend that the normal practice of having the Project Board carry

²⁷ This, we note, is in addition to the existing studies and monitoring that is carried out by the protected areas and which is passed, via their respective government agency, to the State Statistics Committee. Here, we are talking about the additional, coordinated and uniform system designed in the project.

²⁸ The TE team note that this has already been done in the project's recently developed exit strategy.

²⁹ The TE team note that the exit strategy describes some of the ways in which monitoring can be continued.

out this task is extended to projects such as this in Uzbekistan. This will engender ownership of the projects and their outcomes.

139. *Use of the METT.* We fully understand why the GEF insists that the METT is uniformly applied across its protected area projects. However, in circumstances like Uzbekistan, where apparently there is another system that is preferred and sustainable, the rather thoughtless imposition of the METT (which will, doubtless be dropped at the end of the project – rather than scaled up across the system as the GEF would like) is counterproductive. In the development of projects, the designers should examine different systems that are in use and compare their strengths and weaknesses relative to the METT. If warranted, the METT should be imposed; if not, at best, the system is left alone or scaled-up or, at worst, a hybrid system is developed and implemented³⁰.

140. *Innovative thinking and adaptive management should not be constrained by the logframe or project design.* We were rather dismayed to hear that despite the project’s efforts to increase awareness, there had been no effort to quantify the increases in awareness or, better still, how those increases in awareness was leading to impacts because it was not within the project document or logframe. Thinking outside of these frameworks is to be encouraged, even facilitated particularly when they work to achieve the goals and outcomes of the project.

141. *Other opportunities.* As the protected area system strengthens and as confidence in Uzbekistan grows, there will be ample opportunities to strengthen the system further. For example, while it might appear as a profound challenge at present, trans-boundary protected areas may worthy of exploration in the longer-term.

4.1.2 Lessons Learned

142. Overall, GEF projects in countries such as Uzbekistan should be about overcoming fears, catalyzing processes and demonstrating successes. This section is about the lessons that can be derived from the development and implementation of the UNDP-GEF Project “Strengthening Sustainability of the National Protected Area System by Focusing on Strictly Protected Areas (PIMS 2111)”³⁰; whether they will be learned and better still implemented in future projects remains to be seen.

143. *Lessons arising from long lead in and project design.* The problems arising from the long lead-in time has already been learned by the GEF and it reaffirms GEF’s policy to cancel projects that are in the pipeline for more than 18 months.

144. However, there are further lessons to be learned from the project design process. It was apparent that the project design was altered as a result of changes to GEF priorities. In a country where there is little trust and will, imposing design changes may be counterproductive because it lessens ownership further.

145. In addition and somewhat in contrast to the point we make below (see paragraph 154), working with people who thoroughly understand the context of Uzbekistan is very beneficial. At present, there is a small handful of people who have now worked on UNDP-GEF projects and they are well aware of what works and what does not work and any project design will significantly benefit from interacting with these people. They will ensure that the design is contextually appropriate.

³⁰ For further discussion on this, see paragraphs 69 and 105b and Footnote 15.

146. *Ensure sequencing is correct.* Once the Inception Period was complete and during the first mission of the International Consultant for Protected Area Management and Planning, the workplans for the project were reworked into an appropriate sequence.

147. There were two examples of where this went wrong in the project. The first related to the development of the business plan for Surkhan zapovednik; because of delays to the process, this ended up being developed before the management plan – which, of course, is back-to-front.

148. The second related to the exit strategy for the project. The TE team were rather alarmed to understand from the project team that the exit strategy was one of the things that remained to be done in the final few months of the project. Exit strategies relate closely to the sustainability of the project’s activities and impacts. If the project has been designed to ensure sustainability, it will, by definition, have a good exit strategy!

149. Note that this was not the implementation of the exit strategy but rather its development. Exit strategies should be designed from the project’s outset. Of course, they should then be adaptive but the project should be working towards the exit strategy throughout the project.

150. *An excellent team makes all the difference!* This lesson is learned, either way, in virtually every UNDP-GEF project that is implemented but we do not believe that it can be reiterated enough. The team was an excellent combination that appeared to be the most appropriate team for the task. It combined political connectivity, pragmatism, and technical ability and knowledge. The fact that this team has achieved what it has on such a limited budget is a testament to their skills.

151. *The study tour had impacts.* At least one interviewee responded enthusiastically about what he had learned on the study tour and, moreover, indicated that he was using what he had learned in his professional life back in Uzbekistan. This is the purpose of study tours and it was good to see that people are deriving benefits from them.

152. *The selection of individuals for the Project Board was successful.* On the basis of their knowledge of key people, the project team handpicked the members of the Project Board. This had a number of benefits: i) the people were those who were most likely to be committed to contribute, and ii) partly as a consequence, they were more likely to attend the Project Board meetings. This all contributed to the success of the Project Board.

153. *The participatory approach worked well.* Again, this is a lesson that has been repeatedly learned in many projects. However, within this project, it appears to have worked at many levels – from the Project Board to the local communities in the vicinity of Surkhan zapovednik.

154. *Understand that you are not alone!* On a number of occasions, it appeared as if the interviewees felt that isolated and alone in the challenges that they faced. The people of Uzbekistan should know that they are, in fact, not alone and that many people in many nation states face similar if not identical issues to them. What is pertinent for this project is to realise that the environment sector – and conservation in particular – is disempowered and marginalized in virtually every country on earth.

155. The additional point here is that there are many lessons to be learned not only from CIS countries but also from around the globe.

156. *Ensure that equipment that is purchased is neither a burden nor redundant.* Purchasing appropriate equipment or vehicles is necessary in all projects; if the equipment cannot be easily and relatively cheaply maintained, it will simply be discarded and no gains will have been made.

Strengthening Sustainability of the National Protected Area System by Focusing on Strictly Protected Areas

PIMS 2111

Atlas Award 00049503

Atlas Project No: 00060412

Terminal Evaluation, August 2013
Volume 2: Annexes

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Annex 1 Terms of Reference

INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the Strengthening Sustainability of the National Protected Area System by Focusing on Strictly Protected Areas (PIMS #2111)

The essentials of the project to be evaluated are as follows:

Project Summary Table

GEF Project ID:	PMIS 3556		at endorsement (Million US\$)	at completion (Million US\$)
UNDP Project ID:	60412 /49503 / PIMS 2111	GEF financing:	0.975	0.975
Country:	Uzbekistan	IA/EA own:	0	0
Region:	Europe and CIS	Government:	1.04	1.04
Focal Area:	Biodiversity	Other:	0.20	0.25
FA Objectives, (OP/SP):	12. Ecosystem management	Total co-financing:	1.24	1.29
Executing Agency:	Ministry of Agriculture, Main Forestry Department	Total Project Cost:	2.22	2.27
Other Partners involved:	Ministry of Agriculture and Water Resources, State Committee for Nature Protection, Tashkent region Khokimiyat, Academy of Sciences, National Centre for Hydrometeorological Services	ProDoc Signature (date project began):		30 May, 2008
		(Operational) Closing Date:	Proposed: June, 2012	Actual: 20 August, 2013

Objective and Scope

The project was designed to enhance the system of protected areas in Uzbekistan through development and demonstration of new approaches to effective management of reserves.

It is assumed that project will reach its goals through obtaining 3 main outcomes:

- Master Plan for expansion of the System of Protected Areas of Uzbekistan developed and determines the main directions of expansion of protected areas.
- Institutional and individual potential enhanced to promote expansion of protected areas and greater efficiency of their management.
- New approaches in management focused on biodiversity conservation are demonstrated in the example of buffer zones of strictly protected areas of Uzbekistan.

UNDP/GEF project “Strengthening Sustainability of the NPAS by Focusing on Strictly Protected Areas” was started in August, 2008 with an objective to remove systemic and institutional barriers that constrain effective operation of the category of strict nature reserves (SNR) at the national level, and the testing and demonstration of approaches to strengthened management effectiveness at a pilot level –Surkhan State Strict Reserve. The implementation of the project was planned for four years (August, 2008 – December, 2012). In accordance to Mid-term evaluation recommendations¹ the project implementation was extended till 20th August 2013.

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

Evaluation approach and method

An overall approach and method¹ for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of relevance, effectiveness, efficiency, sustainability, and impact, as defined and explained in the *UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects*. A set of questions covering each of these criteria have been drafted and are included with this TOR. The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to

¹ For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163

conduct a field mission to Surkhandarya province, including the following project site- Surkhan State Natural Reserve. Interviews will be held with the following organizations and individuals at a minimum: Project Management Unit and key project stakeholders, including UNDP Country Office in Uzbekistan, the Ministry of Agriculture and Water resources of the Republic of Uzbekistan (Main Forestry Department), State Committee for Nature Protection (State Inspection on Biological Control), National Centre for Hydrometeorological Services (Uzhydromet), Tashkent region Khokimiyat, Goskomgeologiya, Academy of Sciences, municipal and regional governments of Surkhandarya province and other stakeholders, as necessary.

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in the Terms of Reference.

Evaluation Criteria & Ratings

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework, which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: relevance, effectiveness, efficiency, sustainability and impact. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary.

Evaluation Ratings:			
1. Monitoring and Evaluation	rating	2. IA& EA Execution	rating
M&E design at entry		Quality of UNDP Implementation	
M&E Plan Implementation		Quality of Execution - Executing Agency	
Overall quality of M&E		Overall quality of Implementation / Execution	
3. Assessment of Outcomes	rating	4. Sustainability	rating
Relevance		Financial resources:	
Effectiveness		Socio-political:	
Efficiency		Institutional framework and governance:	
Overall Project Outcome Rating		Environmental :	
		Overall likelihood of sustainability:	

Project finance / cofinance

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration.

Mainstreaming

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

Impact

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.²

Conclusions, recommendations & lessons

The evaluation report must include a chapter providing a set of conclusions, recommendations and lessons.

Implementation arrangements

The principal responsibility for managing this evaluation resides with the UNDP CO in Uzbekistan. The UNDP CO will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

Evaluation timeframe

The total duration of the evaluation will be 30 working days according to the following plan:

Activity	Timing	Completion Date
Preparation	recommended: 3-5 days	13-17 May, 2013 (tentative)
Evaluation Mission (country field visits, interviews)	maximum 10 days	20-30 May, 2013 (tentative)
Draft Evaluation Report	recommended: 5-10 days	3-14 June, 2013 (tentative)

² A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: [ROtI Handbook 2009](#)

Final Report	recommended: 3-5 days	17-21 June, 2013 (tentative)
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Evaluation deliverables

The evaluation team is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
Inception Report	Evaluator provides clarifications on timing and method	No later than 2 weeks before the evaluation mission.	Evaluator submits to UNDP CO Uzbekistan
Presentation	Initial Findings	End of evaluation mission	PMU, EEU of the UNDP CO Uzbekistan
Draft Final Report	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission	Sent to CO, reviewed by RTA, National partners
Final Report*	Revised report	Within 1 week of receiving UNDP comments on draft	Sent to CO for uploading to UNDP ERC.

*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

Team Composition

The evaluation team will be composed of International Consultant (Team Leader) and a Local Consultant. The consultants shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

Team leader tasks

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

- Lead and manage the evaluation mission;
- Design the detailed evaluation methodology and plan;
- Conduct desk-reviews, interviews and site-visits in order to obtain objective and verifiable data to substantive evaluation ratings and assessments, including:
 - Assessment of adequacy of the level and proposed modes of enforcement of the regulatory and programmatic documents developed within the project for creation of an enabling environment for biodiversity conservation in the state sector;
 - Verification and commenting of the final stage GEF Biodiversity Tracking Tool data, as collected and reported by the project;
 - Detailed assessment of risks which are listed in project document and updated in inception reports.
- Draft the evaluation report and share with the key stakeholders for comments;

- Finalize the evaluation report based on the inputs from key stakeholders.
- Qualifications and required experience and education are listed in the part IX of this TOR.

The core product of the Terminal Evaluation will be the Terminal Evaluation Report the length of which will not exceed 40 pages (excluding annexes).

Annex 2 Itinerary of Mission to Uzbekistan

Date	Activities
10 May	Signature and commencement of contract
10 – 24 May	Review of documents; contact with Project Implementation Unit (PIU) re request for documents, updated logframe, financial information.
28 May	Arrival in Tashkent. Meet PIU. Meeting with Akmal Ismatov, National Project Manager Meeting with Anvar Meliboev
29 May	Meeting with Muratbay Ganiev, National Project Coordinator Meeting with Akmal Ismatov, National Project Manager Meeting with Sergey Zagrebin, National Technical Coordinator
30 May	Meeting with Aleksandr Grigoryants, Interim Head of State Biological Inspection Meeting with Sergey Zagrebin, National Technical Coordinator Meeting with Zafar Abdullaev, the project's Administrative and Financial Assistant Meeting with Tilakmurod Mustafakulov, Acting director of Surkhan Zapovednik Meeting with Tura Kholikov, Deputy director of the Surkhan Zapovednik Meeting with Kuvandik Khonnaev, director of the school # 54 at Sherabad district, Surkhandarya province Bakhrom Karimov, executive director of the Main State forestry department in Surkhandarya province
31 May	Meeting with Roman Rasulov, Deputy Head, The Main Department of reserves, National Nature Parks and Hunting Economies, Ministry of Agriculture and Water Resources Meeting with Khojakbar Talipov, former administrative-finance assistant Meeting with Ergashvay Sarimsakov, Deputy director of the Ugam-Chatkal national park
03 June	Meeting with Pulat Reimov, Deputy chair of the committee on ecology and environment protection of the legislative branch of the Parliament Meeting with Ibrat Karimov, leading specialist of the ministry of

	Economy Meeting with Oleg Tsaruk, national project consultant
04 June	Meeting with Roman Kahskarov, Executive Director of Society for Birds Protection, Meeting with Julia Mitropolskya, national project consultant Meeting with Tulkun Mirzaev, Deputy head of department, Ministry of finance
05 June	Meeting with Sharifboy Vakulov, specialist at the Ugam-Chatkal State National Reserve
06 June	Meeting with Abduvakkos Abdurakhmanov, Head of Energy and Environment Unit at UNDP, Uzbekistan and Guzal Khodjaeva, Programme Associate at UNDP, Uzbekistan; presentation of preliminary findings of the Terminal Evaluation
07 June	Departure of the International Team Leader
08 – 14 June	Skype discussions with: Adriana Dinu, Former Regional Technical Advisor, UNDP-GEF Bratislava Maxim Vergeichik, Regional Technical Advisor, UNDP-GEF Bratislava Lucy Emerton, Project's International Consultant on Environmental Finance Mike Appleton, Project's International Consultant on Protected Area Management
24 June	National Consultant meeting with Natalya Kamilova, chief specialist of the Committee of Geology and Mineral Resources

Annex 3 List of People Interviewed

Name	Position and Organization
Akmal Ismatov	National Project Manager
Anvar Meliboev	PR Specialist
Muratbay Ganiev	National Project Coordinator
Sergey Zagrebin	National Technical Coordinator
Aleksandr Grigoryants	Interim Head of State Biological Inspection
Zafar Abdullaev	project's Administrative and Financial Assistant
Tilakmurod Mustafakulov	Acting director of Surkhan Zapovednik
Tura Kholikov	Deputy director of the Surkhan Zapovednik
Kuvandik Khonnaev	Director of the school # 54 at Sherabad district, Surkhandarya province
Bakhrom Karimov	Executive director of the Main State forestry department in Surkhandarya province
Roman Rasulov	Deputy Head, The Main Department of reserves, National Nature Parks and Hunting Economies, Ministry of Agriculture and Water Resources
Khojakbar Talipov	Project's former administrative-finance assistant
Ergashvay Sarimsakov	Deputy director of the Ugam-Chatkal national park
Pulat Reimov	Deputy chair of the committee on ecology and environment protection of the legislative branch of the Parliament
Ibrat Karimov	Leading specialist of the ministry of Economy
Oleg Tsaruk	Project's national consultant
Roman Kahskarov	Executive Director of Society for Birds Protection
Julia Mitropolskya	Project's national consultant
Tulkun Mirzaev	Deputy head of department, Ministry of finance
Sharifboy Vakulov	Specialist at the Ugam-Chatkal State National Reserve
Abduvakkos Abdurakhmanov	Head of Energy and Environment Unit at UNDP, Uzbekistan
Guzal Khodjaeva	Programme Associate at UNDP, Uzbekistan
Natalya Kamilova	Chief specialist of the Committee of Geology and Mineral Resources
Adriana Dinu	Former Regional Technical Advisor, UNDP-GEF Bratislava
Maxim Vergeichik	Regional Technical Advisor, UNDP-GEF Bratislava

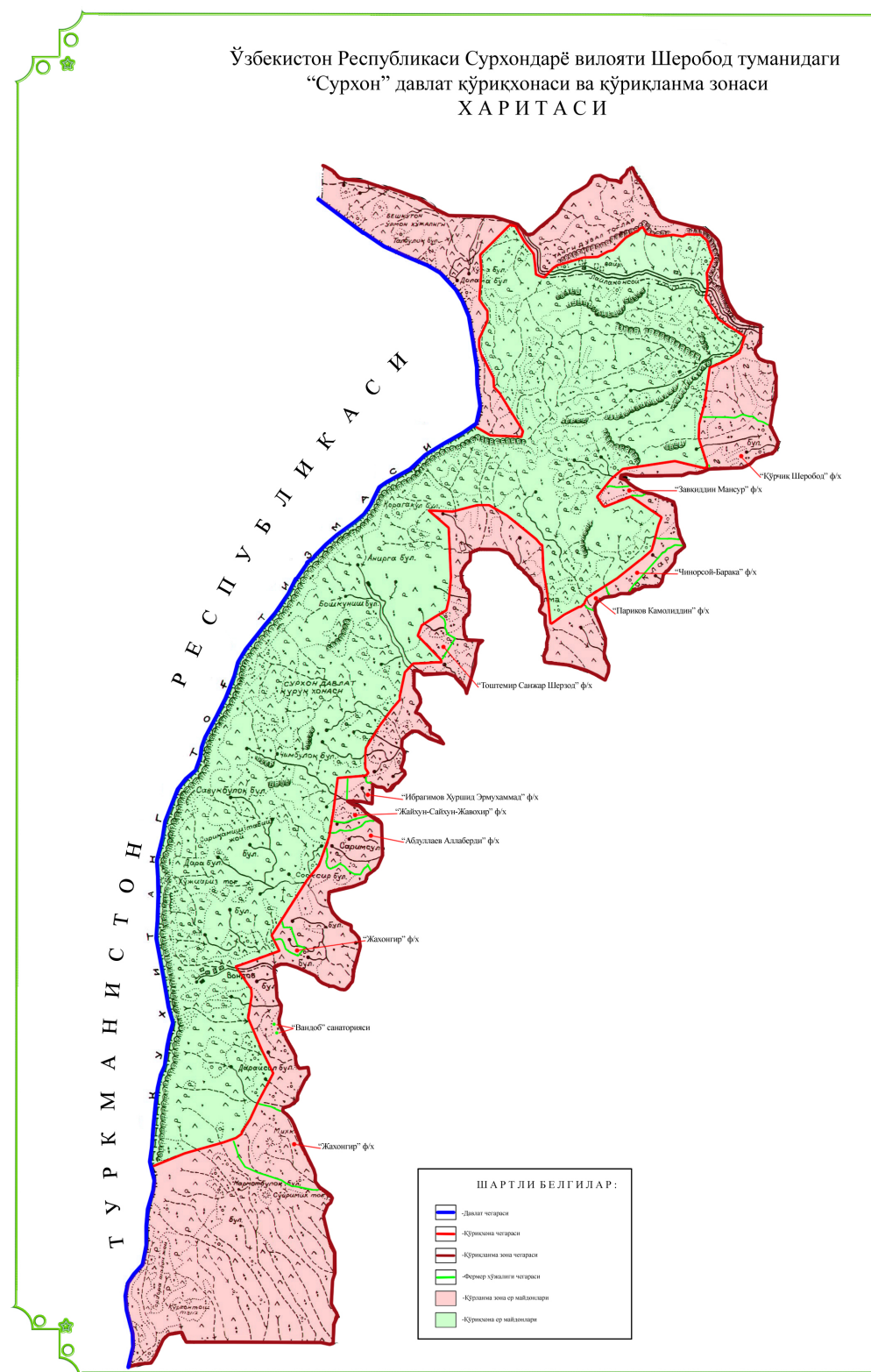
Lucy Emerton	Project's International Consultant on Environmental Finance
Mike Appleton	Project's International Consultant on Protected Area Management

Annex 4 Maps

Map 1: Protected Area Expansion Plan: This map was one of the key results of the project and was integrated into the Master Plan. It shows the existing protected areas and the areas that would, ideally, be included into the protected area system over the coming years.



This map presents the buffer area that is now accepted around Surkhan Zaporozhzhya as a result of the project's work in the area.



Annex 5 List of Documents Reviewed and Documents Produced by Project

5.1 Documents produced by the Project, by Outcome

Outcome One: Development of Master Plan for PAs System Expansion in Uzbekistan

News stories

«On the way to stability of the national system» - “Jamiyat” newspaper (Ecological movement) 2 July 2010.

“Under protection – protected areas” (media tour)- “Pravda vostoka” newspaper 7 July 2010.

“Under protection – protected areas” (round table)- “Pravda vostoka” newspaper 7 July 2010.

“Tour to the tightness of Kugitan” – “Zerkalo” newspaper 14 July 2010.

Radio broadcast “About round table” Radio channel “Uzbekistan” - 30 June 2010.

Radio broadcast “About project and media tour” Radio channel “Uzbekistan” - 1 July 2010.

Radio broadcast “About project and cooperation Forest economies” Radio channel “Uzbekistan” – 2 July 2010.

Radio broadcast “About round table” Radio channel “Mashal” - 30 June 2010.

Radio broadcast “About project and media tour” Radio channel “Mashal” - 1 July 2010.

Site <http://undp.uz/> press release “Media tour devoted to World Biodiversity Year and World Environment Day” - <http://www.undp.uz/ru/news/story.php?id=1292>.

Site <http://econews.uz/> article «Strengthening the stability of protected areas» (3rd expanded Project Board meeting) - http://econews.uz/index.php?option=com_content&view=article&id=507:strengthening-of-stability-protected-natural-territories&catid=1:biodiversity&Itemid=8

Site <http://econews.uz/> article «Preserve the miracle of Kugitan» (Round table) - http://econews.uz/index.php?option=com_content&view=article&id=621:2010-07-01-09-51-10&catid=1:biodiversity&Itemid=8.

Site <http://sreda.uz/> article «What can we do for Surkhan?» (round table) - <http://sreda.uz/index.php?newsid=407>

Site <http://sreda.uz/> article «Media tour to surroundings of Surkhan reserve » - <http://sreda.uz/index.php?newsid=406>

«Surkhan opened its beauty for journalists» journal «Ecological bulletin» in the process of publishing.

TV program in the local TV of Surkhandarya region “about media tour”.

TV channel “Tashkent” – “Ekopoytaht” program about “Protected areas of Uzbekistan”, Akmal Ismatov, 28 April 2010 (Uzbek language).

TV channel “Tashkent” – “ Ekopoytaht ” program about “Biodiversity of Uzbekistan”, Sergey Zagrebin, 12 May 2010 (Russian language).

“Olam va odam” newspaper, “Biodiversity is a basis of Live”, 2012, December.

“Erkin Karakalpakstan”, “Environment topics as reported by journalists”, 11 December, 2012

“Narodnoe Slovo” Newspaper, “Saving the Nature, saving ourselves”, 22 May, 2012

“Jamiat” newspaper, the role of a journalist in covering environment topics”, December 2012

“Surkon tongi” newspaper , “How to report effectively”? December 29, 2012

“Molodej Uzbekistana” newspaper, “Serious Game”. 20 December, 2010.

“Jizzakh Haqiqaty”, “Seminar on Environmental Reporting”, 29 December, 2012.

“Syrdarya Haqiqaty”, “The topic-Nature and Human”, December 12, 2012.

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<http://econews.uz/index.php/home/bioraznoobrazie/item/1503>

<http://econews.uz/index.php/home/bioraznoobrazie/item/1502>

<http://econews.uz/index.php/home/bioraznoobrazie/item/1502>

<http://econews.uz/index.php/home/bioraznoobrazie/item/1499>

<http://econews.uz/index.php/home/bioraznoobrazie/item/1498>

http://uzb.econews.uz/index.php?option=com_content&view=article&id=523:2012-06-01-12-43-13&catid=1:biodiversity&Itemid=8

http://uzb.econews.uz/index.php?option=com_content&view=article&id=524:2012-06-01-13-10-28&catid=3:nature-management&Itemid=14

<http://www.gazeta.uz/2012/11/06/nature/>

<http://www.gazeta.uz/2009/11/18/nukus/>

http://eng.econews.uz/index.php?option=com_content&view=article&id=179:let-us-save-the-wonder-of-kugitang&catid=10:eco-journalism-&Itemid=20

<http://internet.bibo.kz/442269-zhurnalisty-uzbekskikh-smi-sovershili.html>

<http://internet.bibo.kz/442269-zhurnalisty-uzbekskikh-smi-sovershili.html>

<http://www.gazeta.uz/2012/01/11/day/>

<http://www.un.uz/en/news/113-ekonedelyh--den-vtoroj.html?page=2>

<http://econews.uz/index.php/item/1984->

<http://www.uznature.uz/rus/newsmain/563.html>

<https://undp.unteamworks.org/node/255643>

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http://info.samosozidanie.ru/zemlya-i-yekologiya/news_2009-01-19-17-54-05-529.html
<http://ariadna.ucoz.ua/news/2009-01-18-38>
<http://www.anons.uz/article/other/7876/>
http://www.jamiyatgzt.uz/uzb/ekoharakat/tabiat_muhofazasida_jurnalist_salohiyati.mgr
<http://uza.uz/uz/society/4963/>
<http://uza.uz/uz/business/12792/>
Poytakh TV, interview, January 13, 2012
Radio Uzbekistan, interview, February 2, 2012
Ahborot TV, news story, May 22, 2012
Mir TV, 15 May, 2012
Yoshlar TV, 16, 2012
Radio Uzbekistan, news story, May 22, 2012
Radio Mashal, news story, May 23. 2012

Blogs and Photo Galleries

<http://www.flickr.com/search/?q=Surkhan>
<http://europeandcis.undp.org/blog/2012/07/12/the-rain-begins-with-the-first-drop/>
<https://undp.unteamworks.org/node/248275>
<https://undp.unteamworks.org/node/252869>
<https://undp.unteamworks.org/node/257293>

Publications.

Brochure UNDP-GEF and Government of Uzbekistan Project “Strengthening Sustainability of the National Protected Area System by Focusing on Strictly Protected Areas”

“Expansion of Protected Areas System in Uzbekistan” full report

Summary Expansion of Protected Areas System in Uzbekistan”

Flyer “What One Should Know about the Master-Plan”?

A map and table of proposed protected areas for expansion

Three posters about the project

Special folder and notebook about importance of conserving Surkhan nature

Collection of drawings contest

Collection of images of local people in Surkhan

10 banners for Surkhan information centre.

Outcome Two: Strengthening institutional and individual capacities to enable expansion and increase management efficiency

<http://www.aloqada.com/News/2012/04/23/>

<http://www.publika.uz/news-uzb/society/5498>

<http://www.gazeta.uz/2012/04/20/undp/>

<http://www.uzdaily.uz/articles-id-10715.htm>

<http://www.anons.uz/article/society/6406/>

http://eng.econews.uz/index.php?option=com_content&view=article&id=247:the-problems-are-common-with-all-the-reserves&catid=3:nature-management&Itemid=14

<http://www.uzbektourism.uz/press/news-uz/nu29.html>

<http://www.pv.uz/today/7.07.10>

<http://www.gazeta.uz/uz/2012/04/13/nizom/>

<http://www.econews.uz/index.php/home/bioraznoobrazie/item/1499>

“Adolat” newspaper, “Conserving the nature-our greatest goal”, April 2013

Detailed presentation for PA staff on specifics working with mass media

Detailed presentation for mass media on specifics of reporting on environment.

Outcome Three: Demonstration of new conservation management approaches in buffer areas of strictly nature reserves in Uzbekistan

<http://europeandcis.undp.org/blog/2013/02/21/can-buffer-zones-help-balance-environmental-and-economic-interests/>

<http://amudaryo.uz/?p=4077>

<http://www.undp.uz/ru/news/print.php?id=1703>

http://society.uzreport.uz/news_r_103750.html

“Surkhon tongi” newspaper, “Benefits of buffer zone for local residents”, April, 2, 2013.

Sherabod TV, news story on being created buffer zone, March 28, 2012

Radio Surkhan, radio news story on project related activities, March, 30, 2013.

Radio Mashal. “What is a buffer zone?” extensive news story and interviews with project staff, March 29, 2013

Akhborot TV, news story, April 3, 2013

“What is buffer zone?” flyer

“How to create a buffer zone”? Methodological guidelines

5.2 Other documents reviewed by the Evaluation Team

Project documents: Project Implementation Reports (PIR), Annual Project Reviews, Project Annual Plans of Activities, Mid-term Evaluation, Minutes of Project Board meetings, Financial Data, GEF focal area tracking tools, Exit Strategy, outputs by the International Consultants, Inception Report, Mid-sized Project Document, GEF CEO Request for Endorsement, Project Identification Form (PIF), Project's PDF-A Proposal, Sample of project communications materials, i.e. press releases, brochures, documentaries, etc.

GEF Evaluation Office. GEF Evaluation Office Ethical Guidelines, 2007

GEF Evaluation Office. Guidelines for GEF Agencies in Conducting Terminal Evaluations, 2008

GEF Evaluation Office. The GEF Monitoring and Evaluation Policy, 2010

UNDP Evaluation Guidelines for GEF-Financed Projects: Version for External Evaluators, March 2011

UNDP documents:

Development Assistance Framework (UNDAF)

Country Programme Document (CPD)

Country Programme Action Plan (CPAP)

Annex 6 The status of the project's logical framework at time of Terminal Evaluation

Outcome/output	Indicator	Baseline	EOP target	Status, TE	Mean of verification	Comments
To demonstrate new management approaches for expansion of protected area system of Uzbekistan	Enabling environment in place to facilitate expansion of the PA System of Uzbekistan to cover an additional 2 million ha	Basic legislation providing for expansion	PA Expansion Plan developed and approved by the Government PA Financing Plan developed and approved by the Government	Draft of Resolution of the Cabinet of Ministers “on creation and expansion of network of protected natural areas of RoU for 2014-2023” has been prepared and agreed with State Committee on Nature protection, Ministry of Agriculture and Water Resources, State Committee on Lands Resources, Geodesy, Cartography, and Cadastre (State land Committee) and State Committee on Geology and Mineral Resources Resolution yet to be approved by the Cabinet of Ministers	<ul style="list-style-type: none"> The draft of the Resolution of the Cabinet of Ministers “on creation and expansion of network of protected natural areas of RoU for 2014-2023”. It is with the State Committee on Nature protection (detailed information may be obtained after the request) Working meeting to discuss National Program (Master Plan) on expansion of system of protected areas (May, 2012, Tashkent) National program (Master Plan) on expansion of system of protected areas of Uzbekistan Photo and video materials of working groups 	The Master Plan has yet to be approved by the Council of Ministers; this remains the principal limitation of the success of the project.
	Improved management effectiveness	Gissar: 51 Zerafshan:	Gissar: 60 Zerafshan: 50	Gissar 55 Zerafshan 60	Materials of assessment of management effectiveness BD TT 2013 (April - May 2013)	That the most significant increase in the MFFT scores

Outcome/output	Indicator	Baseline	EOP target	Status, TE	Mean of verification	Comments
	(METT scores)	Nuratau: 34 Chatkal: 52 Kyzylkum: 34 Kitab: 61 Zaamin: 36 Surkhan: 33	Chatkal: 60 Kyzylkum: 50 Kitab: 70 Zaamin: 50 Surkhan: 50	Kyzylkum 68 Kitab 75 Zaamin 58 Surkhan 79		the effectiveness of the management of protected areas.
	Legal, regulatory and institutional frameworks for financial sustainability	Score: 14 out of 78 (or 18%)	40 out of 78 (or 51%)	36 out of a possible 97 (37%)	Materials of assessment of management effectiveness BD TT 2013	Note that by the final assessment in 2013, the scale had changed and hence the gains are shown as percentages. All show modest improvements.
	Business planning and tools for cost-effective management in place	Score: 9 out of 61 (or 15%)	30 out of 61 (or 49%)	15 out of a possible 59 (or 25%)	Materials of assessment of management effectiveness BD TT 2013	
	Tools for revenue generation in place	Score: 6 out of 57 (or 11%)	20 out of 57 (or 35%)	11 out of a possible 71 (or 15%)	Materials of assessment of management effectiveness BD TT 2013	
	The number of replicates within other strict reserves, of approaches demonstrated and lessons learned by the project	None	At least 3 strict reserves in NPAS follow their own Management Plans for operation and management of the reserves	Twelve protected areas in Uzbekistan are preparing Management Plan for 2014-2018 according to procedures developed by the project and approved by State Nature Protection Committee	<ul style="list-style-type: none"> Letter from State Nature Protection Committee to Ministry of Agriculture and Water Resources № 89-06 from 29.02.2012 Order of State Nature Protection Committee on development of management plans for Gissar protected area and eco-center “Jeyran”, №21-II from January 29, 2013 r. Letter from Ministry of Agriculture and Water Resources to State Nature 	This is a significant achievement by the project.

Outcome/output	Indicator	Baseline	EOP target	Status, TE	Mean of verification	Comments
					Protection Committee on preparation of management plans for protected areas under the ministry from 14.11.2012, №06/09-922	
OUTCOME 1: Master Plan for Protected Area System of Uzbekistan is guiding the expansion.	% contribution of PA estate to meeting the country representative ness targets	<5%	>50% Not less then 50% of natural (representative) ecosystems will be covered PA, and covered area every natural (representative) ecosystem will be not less then 10% from its total area in this ecosystem in the country	<p>All ecosystems covering >10% of areas of each are represented in the program on protected area (PA) expansion.</p> <p>Analysis of drawbacks in existing system of PA is conducted</p> <p>Recommendations on creating of 20 new and expansion of 9 existing PA during 4 regional and one national meeting, and also during working meeting with representatives of Oliy Majlis (Supreme Counsel of Uz) have been developed and discussed</p> <p>In Uzbekistan 6 basic (main) ecosystems (ha) are identified</p> <p>1. bottomland forest - 232 478; 2. foothills and lowhills - 4 070 443; 3. highland - 417 992;</p>	<ul style="list-style-type: none"> • Working meeting to discuss preliminary recommendations on expansion of network of PA in Uzbekistan (July 2009, Tashkent) • Working meeting to discuss detailed recommendations on expansion of network of PA: <ol style="list-style-type: none"> 1. In western Uzbekistan (November 2009, Nukus city) 2. In central Uzbekistan (December 2009, Samarkand city) 3. In southern Uzbekistan (February 2010, Termez city) 4. In eastern Uzbekistan (March 2010 r Tashkent) • National meeting to discuss final recommendations on expansion of network of PA was held in May, 2010 Tashkent • Round table with representatives of Oliy Majlis Uz (June 2010, Tashkent) • Published map of suggested PA for expansion • Publication of “recommendations on expansion of network of PA in Uz) • Annex 1 to Resolution of Cabinet of Ministers “on creation and expansion of network of protected natural areas of RoU for 2014-2023” <p>Reports</p>	If and when the Master Plan – which includes the plan for expanding the protected area system of Uzbekistan which will achieve good representation – is approved, the project will have made a significant contribution to increasing representation.

Outcome/output	Indicator	Baseline	EOP target	Status, TE	Mean of verification	Comments
				<p>4. mountain forest - 2 333 581;</p> <p>5. wetland - 732 747;</p> <p>6. deserts and semi-deserts - 27 099 271</p> <p>Prepared recommendations on PA network expansion are covers all 6 important ecosystems, there are (ha):</p> <p>1. bottomland forest – 29 032 (around 13 %);</p> <p>2. foothills and lowhills – 663 188 (more than 16 %);</p> <p>3. highland – 334591 (up to 80 %, with the expansion of existing PAs);</p> <p>4. mountain forest – 849 591 (more than 35 % with the expansion of existing PAs);</p> <p>5. wetland – 465 785 (more than 64 %);</p> <p>6. deserts and semi-deserts – 5 358 919 (around 20 %).</p> <p>Thus all ecological systems will be covered by PA system, and PA area in each of ecosystems is more</p>	<ul style="list-style-type: none"> • “Analysis and estimation of situation with planning of PA in the country and most important necessity to change them” • “Analysis of versions of PA planning in Uz) • Recommendations on preparation of Master Plan • Master Plan for expansion of network of PA – preservation of zoological diversity” • Master Plan for expansion of network of PA – preservation of botanical diversity” • Master Plan for expansion of network of PA – preservation of landscape diversity” • “use of method of geoinformation mapping and mapping tools for planning of expansion of network of PA” • “Recommendations on expansion of network of PA in Uz” • “Legislation on PA in Uz – current situation and options for its strengthening” • GIS system for recommended natural areas • “Review of PA in the context of their representativeness and recommendations on their expansion” • National Program (Master Plan) on expansion of network of PA in Uz • Regulation of State Nature Protection Committee on the order of development of management plans of 	

Outcome/output	Indicator	Baseline	EOP target	Status, TE	Mean of verification	Comments
				than 10% from the total ecosystems area.	PA, registered by Ministry of Justice from 7.02. 2012 <ul style="list-style-type: none"> Letter from State Nature Protection Committee to Ministry of Agriculture and Water Resources, № 89-06 from 29.02.2012 	
	Number of SNRs with approved management plan	1	9	<ul style="list-style-type: none"> 12 PA including state PA, National Natural Parks, Biosphere reserve and ecocenter “Jeyran” are in the process to develop management plans for 2014-2018 State Nature Protection Committee approved Regulation on preparation procedures and format of Management Plans for PA Ministry of Justice agreed on this procedure document. Thus, Management Plan became obligatory for all PA of Uz State Nature Protection Committee conducts monitoring of preparation of Management Plans of PA in Uz Meetings with the management of Ugam-Chatkal national park, Chatkal and Gissar State Strict Nature Reserves were conducted with 	<ul style="list-style-type: none"> Order of State Nature Protection Committee on development of management plans for Gissar PA and ecocenter “Jeyran”, №21-II from January 29, 2013. Letter from Ministry of Agriculture and Water Resources to State Nature Protection Committee on preparation of management plans for protected areas under the ministry from 14.11.2012, №06/09-922 	This is a significant achievement by the project.

Outcome/output	Indicator	Baseline	EOP target	Status, TE	Mean of verification	Comments
				<p>regard to management plans in accordance with the approved procedures of their preparation and format. The project provided recommendations and advices related to technical matters, required professional staff and the time frame of preparation of the management plan</p> <ul style="list-style-type: none"> • Project conducted training on preparation of management plans for protected areas of the strict nature reserves and national parks was organized for 30 staff, including state management agencies. During the training, the necessary training materials for preparation of management plans as well as training on preparation of management plan chapters were distributed. 		
	Percentage of the annual SSNR recurrent costs received from sources other than the state budget for	0% of the SSNR budget	at least 20% of the SSNR's annual recurrent costs received from income inflows other than the state	<ul style="list-style-type: none"> • Pilot management plan of PA for 2010-2012 included >15% of financial means apart from state budget • Project conducted training for 11 employees of PA and managers of 	<ul style="list-style-type: none"> • Report entitled "PNA in Uzbekistan: options for finance" • Report entitled "interim business-plan for Surkhan PA and protected zone" • Pilot management plan of Surkhan PA for 2010-2012 • Format of management plan 	<p>This represents a challenging if not unattainable output because of the many externalities. Nonetheless, the business plan for Surkhan zapovednik</p>

Outcome/output	Indicator	Baseline	EOP target	Status, TE	Mean of verification	Comments
	their annual recurrent costs.		budget	agencies, transferred corresponding instructions and examples for inclusion of financial means beyond state budget in management plan <ul style="list-style-type: none"> Approved format of management plan for PA includes section of business planning; when developing it PAs will have to consider both state budget and non-state budget financing 	<ul style="list-style-type: none"> Regulation of State Nature Protection Committee “on order of development of management plans of PA, registered in Ministry of Justice in 7.02. 2012. Program of training for preparation of master plan Achieve of photo and video 	was produced.
	Management costs of the SNRs are in line with available funds	Available funds cannot cover management costs of effective protection	Management costs are being covered through revenues and other national funding sources	<ul style="list-style-type: none"> The approved management plan specifically indicates the necessity of funds for operational functioning. reserves. Detailed financial aspects such as fundraising and attraction of additional financial sources in the process of management plan implementation are incorporated into the training programme 	<ul style="list-style-type: none"> Regulation of State Nature Protection Committee “on order of development of management plans of PA, registered in Ministry of Justice in 7.02. 2012 Format of management plan 	The approval of the management plan, which includes details of management costs means that in principle the budget will be provided. It is not, however, guaranteed.
OUTCOME 2: Strengthened institutional and individual capacity to enable expansion and improved	Level of the adequate professional knowledge among the reserve’s staff required for effective	The conservation management capacity of the staff responsible for SNRs is	90% of the reserve staff are qualified accordingly to the contemporary standards for effective	<ul style="list-style-type: none"> Assessment of existing institutional and individual potential is conducted Based on assessment recommendations on increase of institutional 	<ul style="list-style-type: none"> Questionnaire of assessment of institutional and individual potential Report “Analysis of institutional and individual potential” and recommendations towards its strengthening Recommendations towards strengthening management structure on 	Aside from the analysis and recommendations, the project focussed their work on Surkhan rather than all the strict protected areas in the

Outcome/output	Indicator	Baseline	EOP target	Status, TE	Mean of verification	Comments
management effectiveness	reserve's management Assessment scores for the staff working in the SNRs.	very low	reserve operation	and individual potential of PA, management structures, job responsibilities are prepared <ul style="list-style-type: none"> Based on assessment 7 training programmes for different target groups, staff members of strict nature reserves on a plethora of thematic topics are prepared. These programmes should become the basis for constantly functioning courses on increase of potential of PA employees Administrative building was renovated and Information center was established in order to increase potential of employees and their work effectiveness. It is expected that this center will be used as regional center for teaching of PA employees and serve as a model of analogous centers in other PAs in Uz. Information center was established based on a concept developed in collaboration with Succow fund 	<ul style="list-style-type: none"> a level of PA Recommendations "management structure and professional requirements for PA employees" Report: "Manual for monitoring and assessment" Recommendations for changes of administrative duties and administrative instructions for PA employees Final Report i Development of a Protected Areas Master Plan for Uzbekistan ii Development of a plan for the expansion and rationalisation of the Protected Area system of Uzbekistan iii Development of the management plan for Surkhan Reserve and Buffer Zone iv Capacity development for protected area management planning in Uzbekistan «The Visitor Information Center of the Surkhan Strict Nature Reserve, Uzbekistan» Conception on behalf of the Michael Succow Foundation (MSF). Photo archive. 	country (as was implied in the indicator). The capacity of Surkhan appeared by be satisfactorily improved.
	Institutional assessment scorecard					
	Increase in	0	4	<ul style="list-style-type: none"> To develop a standard 	<ul style="list-style-type: none"> Report entitled "Monitoring of 	The project

Outcome/output	Indicator	Baseline	EOP target	Status, TE	Mean of verification	Comments
	number of protected areas with an effective and properly resourced management institution			<p>methodology for inventory, monitoring and management of information of PA's biological diversity, the project developed guidelines for conducting a monitoring of key biodiversity and implementing a tool for monitoring biodiversity. These guidelines were discussed with potential users and introductory training on how to use it was conducted for PA employees.</p> <ul style="list-style-type: none"> Recommendations on monitoring of "Chronicle of Nature" were discussed by the project on section on Biodiversity Scientific and Technical Council of the State Committee for Nature Protection of the Republic of Uzbekistan and set further joint steps to give them a legal status. 	<p>biodiversity in PA of Uzbekistan" was prepared</p> <ul style="list-style-type: none"> Report entitled "Introduction of a Tool for Monitoring Biodiversity in PAs Methodological guidelines on conduction of monitoring ("writing of annals" and "census of animals") in PA Agreement on establishment of working group for conduction of monitoring of key biodiversity species in PA of Uzbekistan (2010). Document on conduction of census of animals in PA (2010-2011) Photo archive – discussion of recommendations with stakeholders 	<p>developed an important tool for monitoring biodiversity in protected areas across the country. The final step – finding an institutional home for the monitoring system and funding to ensure its implementation – was not carried out – leaving the sustainability of this output rather questionable.</p>
	Use of business methods at SNRs level and existence of a PA performance monitoring system	There is no business planning and no institutionalized PA performance monitoring system	Business planning is an integral part of PA management, supported by an M&E system at the PA level	<ul style="list-style-type: none"> Project prepared a format of management plan, provided full support to legitimize it, conducted training for PA employees, transferred appropriate instructions and examples for inclusion of business 	<ul style="list-style-type: none"> Report on: protected PA of Uzbekistan: options for financial investments" Format of management plan Draft of the decree of Cabinet of Ministers "on creation and expansion of PNA of Uzbekistan for 2014-2023» 	<p>This indicator appears to have two elements to it – the first relating to business planning (which was satisfactorily carried out for Surkhan zapovednik and the</p>

Outcome/output	Indicator	Baseline	EOP target	Status, TE	Mean of verification	Comments
				<p>methods in management plans. These examples should be used for preparation of management plan for 2013-2018</p> <ul style="list-style-type: none"> Strengthening of existing financing by prioritizing of expenses and financing of actual (pressing) needs of PA, including from non-budget sources, is included as one of the implementation mechanisms of “Programme for creation and expansion of protected areas in Uzbekistan” and included as separate activity in the list of measures for implementation of this programme. 		<p>model it provides for the rest of the protected area system) and the second which related to monitoring the effectiveness of protected areas (which was carried out through the use of the METT but see various paragraphs in the main body of the report for a discussion on this).</p>
OUTCOME 3: Demonstration of new conservation management approaches (new governance approaches) in buffer areas of strictly nature reserves in Uzbekistan	Populations of globally significant species in SSNR	Tajik markhor - 150 Bukharian urial – 35	The population sizes of Tajik markhor and Bukharian urial species within the boundaries of the SSNR have remained constant or increased compared to the baseline	Annual census of globally endangered species such as markhor and Bukhara sheep are conducted under project support. Census was conducted in May 2013. The quantity of markhor was ca. 295 heads, of Bukhara sheep – ca. 35 heads.	Report of Surkhan PA for 2 nd quarter 2013	To expect that the project was to lead to increases in the population of these species over its lifetime was unrealistic. Indeed, any increases could be simply attributable to the improved equipment provided by the project. These populations should

Outcome/output	Indicator	Baseline	EOP target	Status, TE	Mean of verification	Comments
			level			be monitored in the long term to ascertain the success of the protected area.
	Number of ha under active conservation management in the SSNR	24,500 ha	43 000 ha of important habitat is included under SSNR management	<ul style="list-style-type: none"> An area of 16695 ha received a status of protected zone of Surkhan PA by the resolution of Khokim (governor). Habitats of rare and economically important animal and plant species, and important plant and animal communities, important landscape elements were included in the protected zone. Total area is 40515 (PA area is 23820 ha, 16695 ha is the protected zone area) Recommendations and programs for sustainable use of land, water and forest resources were prepared. Pilot activities for sustainable use of forest resources were started. Within the frame of these activities, identification criteria of demonstration sites were developed and necessary funding amount by the project was defined. 	<ul style="list-style-type: none"> Resolution of the Sherabad district khokimiat, № 625 from 22.10.2012 Resolution of Surkhandarya regional khokimiat, № 254 from 26.01.2013 Report of consultant-geographer on identification of protected zone of Surkhan PA Report of consultant-botanist on identification of protected zone of Surkhan PA Report of consultant-zoologist on identification of protected zone of Surkhan PA Report of consultant for socio-economic issues on identification of buffer zone of Surkhan PA Report entitled “analysis of cultural-historical heritage in the established buffer zone of Surkhan PA” GIS-system of area of protected zone of Surkhan PA Report entitled “Interim business-plan for Surkhan PA and protected zone” Report entitled “management plan of Surkhan PA in the context of socio-economic development” Pilot management plan of Surkhan PA Programme on restoration and 	The development and implementation of the buffer zone around Surkhan zapovednik was a significant success.

Outcome/output	Indicator	Baseline	EOP target	Status, TE	Mean of verification	Comments
					sustainable use of biological resources <ul style="list-style-type: none"> • Report entitled “socio-economic development of protected zone of Surkhan state PA: retrospective analysis and assessment of current situation in the context of sustainable development of its territory” • Recommendations on sustainable development of protected zone of Surkhan PA with the focus on improved livelihoods of local population • Report entitled “assessment of needs in construction and fuel wood of rural populated areas located close to the border of the established protected zone of Surkhan PA” • Report entitled ”Recommendations on reforestation in protected zone of Surkhan PA” • Report entitled ”Assessment of current situation and analysis of problems in land and water resources management” • Recommendations on sustainable use of land and water resources • 	
	Legal establishment of the buffer zones around other protected areas in Uzbekistan and/or the	None	Guidelines for developing buffer zones around zapovedniks produced and incorporated within Protected Area	<ul style="list-style-type: none"> • Protected zone of Surkhan PA was approved by Resolution of Sherabad district khokimiat, № 625 from 22.10.2012 and Decision of Surkhandarya regional khokimiat, № 254 from 26.01.2013. • Protected zone 	<ul style="list-style-type: none"> • Resolution of Sherabad district khokimiat, № 625 from 22.10.2012. • Resolution of Surkhandarya regional khokimiat, № 254 from 26.01.2013 • Programme and list of participants of the training on “How to create protected zone of state PA 	The guidelines were developed and methodology demonstrated in Surkhan zapovednik, and there is considerable interest in other areas of the country to replicate

Outcome/output	Indicator	Baseline	EOP target	Status, TE	Mean of verification	Comments
	region		Master Plan	<p>was created as a result of deep analysis of current situation with biological and landscape diversity taking and accounting for socio-economic situation and existing land use</p> <ul style="list-style-type: none"> Based on gained experience methodological guidelines on “How to create protected zone of state PA” were developed. Guidelines were translated into national language. After duplication it will be distributed to all managing agencies and PAs Based on the guidelines, a training for the employees of 11 PAs, corresponding PA-managing agencies and Ministry of Finance and Economy (30 participants) was conducted. 		the experiences and lessons learned from the project.

Annex 7 List of Equipment to be transferred to Surkhan zapovedni and the Government of Uzbekistan on close of project

The list of the equipment that has already been transferred to Surkhan SNR

Item	Qu.
Cenix 2170 (Digital voice recorder)	2
(Computer – AV-Tech JNP Proc: Dual core E2180 (2.0GHz/ 800FSB/1MB, EM64T) /Ram: DDRII 1024MB PC6400/ HDD: 250GB / DVD-RW LiteOn SATA /Graphics: Integ / Sound: Integrated, Keyb AVTACH 2808MJ, Mouse AVTECH M2029, LCD' LG W1942S)	1
HP Laser Jet M1120n (PN:CC459A)	1
(GARMIN eTrex Summit HC 2.1" GPS Navigation)	1
(Binoculars Nikon 7216 Action 8x40)	8
(Coleman 7' x 7' Sundome Tent-Sleeps 3)	5
Sleeping Bag "ALPS Mountaineering Fusion +20 Sleeping Bag with Pad	10
Sleeping bags – Coleman	20
RSPB AG60 telescope body with zoom package	1
Digital Camera Rollei + AG Adaptor	1
Digital Camera - Nikon Coolpix L24 with Accessory Kit	12
RSPB Tripod 2	1
RSPB Tripod Bag	1
Bushnell Night Vision 2.5x42 Built-in Double Infrared (Green)	2
(Bushnell 8MP Trophy Cam Brown Night Vision Trail Camera)	2
(Bushnell Bear Safe Security Case for Trophy Cam Trail Cameras)	2
Backpack Fox Outdoor Himalayan	33
Binoculars Barska Blackhawk 12x25 (AB 10242)	20
Writing table (1400/700/760)	2
Worktable (1600/117/760)	2
Pedestal with drawers (430/700/760)/	2
Half open bookcase with lock (800/370/1850)	1
Chair for visitors	10

The list of the equipment that was being transferred to Surkhan SNR (transfer documents were being signed during the Terminal Evaluation)

Item	Quantity
The set of "Solar photo-voltaic station" with installation including: Photo-electric panels; Frame with the elements of fastening; Controller with the indicators of current level of charge of storage batteries during exploitation; Storage batteries(ABAS) 12 in 800; Inverter with transformation to 220 by power no less than 1 kW with automation of protecting from K3; Rectifier for charging of storage batteries with the block of interface(by diodes) and automatic disconnecting (charge current no less 50A) in an unfavorable period of year on solar irradiation; Energy-saving lamps 4 pcs; Wall outlets 3 pcs; Switch 4 pcs; Special switch for connection of rectifier to PHS 1 pcs; Wire-cable products; Ducts and other assembling elements).	1 set
Air Condition split system Chigo -12 HR with installation. Heating and cooling area: 35 m2, Power: 3,5 kwt, Consumable power for heating and cooling: 1,25 kwt	1
Air Conditioner Gree, Floor Standing Type KFR-24 with installation. Cooling power 7,5 kwt, Heating power 8,2 kwt, consumable power for cooling 2,5 kwt, consumable power for heating 2,7 kwt, cooling area 75 m2	1
Office containers	3
Epson PowerLite S11 Multimedia Projector, Contrast Ratio - 3000:1, Brightness – 2600 Lumens Aspect Ratio - 4:3, Standard Screen Resolution - SVGA 800x600, 3LCD Technology, with carrying case	1
Ceiling bracket for projector (height from 45 sm up to 63 sm	1
Projector screen wall mounted 1.8x1.8 m	1
Notebook HP Pavilion, Intel 2 nd Generation Core i3, 2.3 GHz, Display 15"6, RAM 4 GB, DDR3 SDRAM, HDD 640 GB, DVD+RW/CD-RW, Graphics Intel HD 3000, shared, Wireless Networking IEEE 802.11a/b/g/n, Webcam, Windows 7 home premium	1
Wall Mounted speakers (pair) Microlab M860 subwoofer system 62 W 5,1	1
Writing desk, PVC 1600x700x760	2
Bookcase, open 800x370x1497	4
Bookcase, half open, with lock 800x370x1497	1
Chair ISO, Grey	1
Sofa, angular (black color) 140x110	1
Stand for A5 format posters	1
Platform, PVC	1

Item	Quantity
Chair folding “Joker”	25
Bunk bed, metallic (pipe diameter 34MM, 30x30 MM, (1900x700x1800)	6
Mattress quilted(1,5 MM)(700x1900)	12
Mattress cover	12
Cabinet for bedding, metallic (900x450x1750)	3
Hanger, floor standing, metallic (600x600x1800)	5
Stool on metallic cage (pipe 25x25 MM, veneer 12 MM)(360x360x450))	12
Table, metallic (pipe 40x40 MM, 20x20 MM, veneer 1,5 MM)(1200x700x750)	3
Slogan boards 80 *100 cm (alukabond, pipe 2x2sm)	5
Banner 3,1*39 m with installation	1
Boxes with info-sheets with 4 compartments	10
Info boards wall mounted 160*80 sm (printed on banner)	5
Life size image of inspector in uniform 170 sm (fomex 8mm, print on metall basement)	1
Info boards 200*80 sm (chipboard, printed on banner) floor standing)	2
Info boards 70*100 sm (chipboard, printed on banner)	2
Info boards with small mirrors 110*100 sm from alukobond)	2
Info boards with 2 mirrors A4 plexiglass 65X50sm)	4
<p>(i) Model with information on landscape and its ecosystem: Size: 550 sm x 350 sm; Relief height: from 30 to 100 cm; Mounting: on 8 legs; Materials: Perspex; Foamex of different thickness and density; Polystyrene; Car paints (nitro enamel and lacquer); Foam-plastic sheets; Orakal; Acryl paints</p> <p>(ii) Working model of river bed with “healthy shores”: Size: 400 sm x 350 sm; Mounting: on 6 legs; Materials: Perspex; Foamex of different thickness and density; Polystyrene; Car paints (nitro enamel and lacquer); Foam plastic sheets; Orakal; Acryl paints; Decorating environment shapes</p> <p>(iii) Sculpture of Marhur: Foamex of different thickness and density; Polystyrene; Car paints (nitro enamel and lacquer); Foam plastic sheets; Acryl paints (iv) Model of juniper tree: Foamex of different thickness and density; Polystyrene; Car paints (nitro enamel and lacquer); Foam plastic sheets; Acryl paints)</p>	1

Annex 8 List of assets to be transferred to the Government of Uzbekistan at the end of the project

The list of project assets for be transferred to the Main Forestry Department of MAWR after project completion

Item	Quantity
Laptop - Dell Inspiron 1525 Intel Core 2 Duo 2.0GHz, 2 GB DDR2 667 Mhz, 160 GB Hard Drive, 256 MB Graphic, multi DVD RW, 56K Modem, English Keyboard (with Russian keybord stickers), Windows Vista Business, Carry case, 15,4" Wide screen, Bluetooth, Wireless	2
Desktop - Graphics Workstation HP DC5800 Intel Core 2 Duo Processor E8400 (3.00 GHz, 6 MB L2 cache,1333 MHz FSB) / RAM 4 GB PC2-6400 (dual channel) / HDD 250 GB SATA 3.0 Gb/s NCQ, Smart IV (7200 rpm) / DVD+/-RW 16x SATA SuperMulti LightScribe / HP Media Card Reader 16 in 1 / 512Mb ATI Radeon HD 3650 + integrated Intel Graphics Media Accelerator 3100 upto 256 Mb / Integrated Audio / Integrated Gigabit Ethernet / Keyboard PS/2, Optical Mouse PS/2 / Genuine Windows Vista Business (Downgrade support to Windows XP Professional)	1
Desktop - HPHP DC5800 Intel Core 2 Duo Processor E8400 (3.00GHz/6M/VT/1333MHz/ FSB), 2Gb DDR2 PC2-6400 (dual channel) / 250 Gb Sata (7200rpm) / integrated Graphics Media Accelerator 3100 / Integrated Broadcom NetXtreme Gigabit Ethernet /Realtek ALC888 High Definition 3D-Audio / DVD +/- RW / Keyboard PS/2, Optical MOuse PS/2 / Genuie Windows Vista Business 32-bit with system recovery kit)	4
Desktop - AV TechComputer – AV-Tech JNP Proc: Dual core E2180 (2.0GHz/ 800FSB/1MB, EM64T) /Ram: DDRII 1024MB PC6400/ HDD: 250GB / DVD-RW LiteOn SATA /Graphics: Integ / Sound: Integrated, Keyb AVTACH 2808MJ, Mouse AVTECH M2029, LCD' LG W1942S)	1
LCD Monitor HP HP L2208w (22')	1
LCD Monitor HP Ultra Sharp Flat Panel with HP Sterio bar (19')	4
Printer HP P205 Laser Jet Pinter #CB366A	1
HP Laser Jet M5035x MFP HP Laser Jet M5035x MFP (Q7830A)	1
Color Printer - Epson Epson Stylus Photo T50	1
Wireless Print Server for Copy machine - P HP Jet Direct ew2400	1
Projector EPSON EMP280 - Digital Multimedia Projector (with carry bag) / XGA resolution, 1024 x 768 dots and resolution with compression SXGA 1280 x 1024 dots / High brightness (2600 ANSI	1

Item	Quantity
lumen) / Lamp resource 3000 h.	
Projection screen on tripod 1.5m x 1.5m	1
Digital camera Nikon D60 digital camera + Carry case	1
Handycam Sony Handycam DCR-SR47 + Tripod + Carry case	1
Digital cameras leens Nikon 18-200 mm f/3,5-5,6G IF-ED AF-S VR DX Zoom-Nikkor	1
Digital cameras Flash Nikon SB-600 Speedlight Flash for Nikon Digital SLR Cameras	1
Digital Camera - Nikon Nikon Coolpix L24 with Accessory Kit	3
Scanner - HP SJ2710 HP SJ2710	1
Wi-fi Router D-Link DSL-2640U	1
Wireless Adapter D-Link 802.11g Wireless USB Dongle Adapter (DWA-120)	1
UPS, HP T1500 VA G2	1
Removable Hard Drive - Transcend 300Gb	1
Digital voice recorder - Cenix 2170	2
Radio Dect phone - Panasonic Panasonic KX-TG 1105	2
Stationary phone - Panasonic KX-TS2365RUW	4
Mini Hybrid Telephone System - Panasonic Panasonic KX-TES824BX	1
Stationary phone - Panasonic Panasonic KX-T7730X	1
Mobile phone - Nokia E 72	1
Mobile phone - Nokia 6300	1
Mobile phone - Nokia Nokia 2600	2
Cutting machine IDEAL 1034	1
Binding Machine IbiMaster 85	1
Writing table 1600/700/760	18
Worktable Worktable (1600/117/760)	3
Writing table 1400/700/760	1
Writing table 1200/700/760	3
Computer table 800/700/760	3
Corner connection (70/70, 90)	2
Corner connection 700/700/760	4
Mobile pedestal with drawers 430/580/635	2
Pedestal with drawers (430/700/760))	3

Item	Quantity
Bookcase Half open bookcase with lock 800/370/1850	4
Bookshelves with lock (404/370/1497)	1
Bookshelves half open (404/370/1497)	1
Wardrobe (404/370/1850)	2
Conference table (1400/700/760)	2
Pedestal Pedestal (800/370/760))	1
Chair Chair for visitors	53
Air conditioner - CHIGO Split System / 12000 BTU	4
Air conditioner - MIDEA MSR-24HR	3
Vehicle - Toyota Hilux Double Cabin (4wd) with Rear fabric canopy with stainless steel frame & rear window/ Chassis No: AHTFX22G-X08005643 / Engine No: 2TR-8166507 / key No: 63706 / Length: 5255mm / Width: 1835 mm / Height: 1810 mm / volume: 17,8m3 / Kerb Weight: 1785 kgs / Colour: Super White II / engine type: 2694cc Petrol 4 cyl, 159bhp / Year of manufacture: 2008	1
Tent Sierra Designs Sirius 3 Tent w/ footprint 3- person	2
Binoculars Viking standard binoculars 10x50	2
Binoculars Nikon 7216 Action 8x40	2
Sleeping Bag Sleeping Bag "ALPS Mountaineering Fusion +20 Sleeping Bag with Pad"	6
GPS Navigation GARMIN eTrex Summit HC 2.1"	1
Backpack-expedition "JanSport Big Bear 63 "	4
Heater (Oil) DeLongni	2
Heater (Oil) DeLongni	2
Heater (Oil) Ferrette 13	2
Safe Fireproof (S50)	1
Security Case Bushnell Bear Safe Security Case for Trophy Cam Trail Cameras	2
Shredder Deli	1
Flip chart	1
Microwave stove LG	1
Mini refrigerator Mini refrigerator LG	1
Stepladder #7	1

Annex 9 Evaluation Consultant Agreement Form

Evaluators:

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.

Evaluation Consultant Agreement Form

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

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

Signed at: Kampala, Uganda On: 28 August 2013

Signature



Name of Consultant	Mirzakhayot Ibrakhimov
--------------------	------------------------

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

Signed at: Tashkent, Uzbekistan On: 28 August 2013

Signature