

**UNDP Uzbekistan**

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**Local Governance Support: Participation and Partnership Project**  
Final Project Evaluation Report

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## 1 Executive Summary

### Introduction

This evaluation was commissioned by UNDP Uzbekistan “to provide a comprehensive overall assessment of the [Local Governance Support] project and to provide recommendations for exit strategy and/or follow-up activities”. The Terms of Reference is reproduced as Annex A.

The Local Governance Support Project ran from February 2010 to December 2013. It aimed to “a) to create a favourable legal environment for decentralization, and b) to increase effectiveness, efficiency and transparency of local government bodies and enhance their partnership capacity with civil society and private sector in two pilot regions for further scaling up.” The project output was expected to be “Strengthened capacity of the government, civil society organizations and the private sector in two pilot regions for joint formulation and implementation of regional development strategy; and transferring the lessons learned to the national level for further feedback and consideration into national policy formulation on decentralization.”

The six main project activities were organised so that the first three would aim to achieve the objective a) and the second three would work towards objective b).

The total project budget was USD 2.39 million of which by the end of November 2013 USD 2.30 million was spent, representing an under-spend of 3%. Implementation was through the National Implementation Modality. A small project team was located in the capital Tashkent and project offices were located in the pilot areas, Jizzakh and Namangan. The pilot areas consisted of two regional level governments (Khokimiyats) and 25 lower level district and city Khokimiyats.

### Key Findings & Lessons Learned

#### Relevance

The aims of the project were consistent both with government policy, as expressed in the Welfare Improvement Strategy 2008-2010 and with UN and UNDP country objectives.

The project as implemented differed in emphasis to the project as planned, though not significantly in content. Most time and resources were spent on Activity 3, which involved implementation of the e-Hujjat document management system in 27 local government bodies, two One Stop Shops and six local government Information Centres. Less emphasis was placed on the capacity building components, especially the training of civil servants (activity 4) and the capacity development of civil society (activity 5).

#### Strategy

The project strategy delivered solid benefits to local governments in both pilot areas, which contributed significantly to the trust and partnership between the project and local and national government. This was a key to the project’s perceived success. The project set over-optimistic targets to achieve change in the legal framework for local government. The functional analysis aimed to raise awareness of the inefficiencies and difficulties of managing at local level and to provide recommendations for change. This faced stronger resistance than expected, indicating a lower level of government readiness and capacity for change than assessed. Research papers and forums for discussion did assist in moving forward the readiness of government for more decentralisation. Crucial strategic factors were the use of the Inter-Agency Coordinating Working Group and the Project Board, both of which provided enabled discussion between UNDP and the Government of policy issues, raising awareness of the challenges and providing information about solutions.

The Inter-Agency Coordinating Working Group consisted of high-level decision-makers at the level of deputy ministers. The pilots produced evidence from the field that was used to inform policy choices. The Working Group was the critical forum at which field level evidence was considered by senior decision makers, and assisted in strengthening policy choices. This model should be considered by other UNDP projects that seek a similar connection between field-based evidence and policy level influence.

A focus of the project on providing practical solutions rather than only raising problems contributed to the development of a positive relationship with government.

### **Results and Effectiveness**

All project activities delivered results effectively. Overall, the project has made a direct contribution to increasing the efficiency of local government in two regions, and has laid the groundwork for improvements in accountability and inclusiveness<sup>1</sup>.

**Activity 1** contributed to creating a more receptive environment for decentralisation. The expected 'Road Map for a gradual public administration and local governance reform' does not yet exist, but there are strong indications that those in power are moving in that direction. The role of women in public administration remains marginalised at both national and local levels, and the project was not able to make a significant contribution to improvement.

The main action of the **Activity 2** was a functional analysis, which aimed to work towards the 'streamlining of work and relationships between and within executive and legislative authorities at national level'. The actual work done was more modest and realistic, and examined the potential efficiency gains possible in the delivery of local services. Ambitious targets for reviews of seven framework laws and proposals for three new laws were not met. However, some valuable work was done to promote fiscal decentralisation, and recommendations were accepted by government.

**Activity 3** achieved the implementation of the e-Hujjat electronic document management system, Information Centres in six local governments and One Stop Shops in two cities. The e-Hujjat achieved strong efficiency gains and reductions in operating costs for the 27 local governments involved. The Information Centres provided the beneficiary governments with a platform for providing high quality information products to the media and public and collecting citizens' feedback on local issues. And the One Stop Shops tested a model for free public access to a range of online public services and support for assisting people with access to public services. The activity certainly contributed to the access of the public to information about public services. Further work needs to be done to ensure that access to information is free and balanced, and that the improved access to public services is sustainable.

**Activity 4**, strengthening capacities of civil servants, mainly focused on supporting the actions under Activity 3. Hence, based on a needs assessment, training was linked to the implementation of the e-Hujjat, One Stop Shops and Information Centres, rather than the broader training strategy linked to building civil servants' capacities to manage in a decentralised environment envisaged in the project document. A very positive initiative was the strong partnership developed between the project and the Academy for Public Administration. The E-learning portal<sup>2</sup> developed promises to provide an effective platform for future civil service skills development.

The Regional Development Strategies envisaged under **Activity 5** had not yet been finalised at the time of the evaluation so were not available for review. Without sight of the strategies, it is hard to assess the quality of the process and inputs. Although there was

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<sup>1</sup> In reference to the UNDP Country Programme outcome

<sup>2</sup> <http://max.dba.uz/elp/home.htm>

apparently wide consultation, the direct involvement of partners was limited to government-friendly organisations not necessarily representative of all interests in the area (see Annex F for a list of partners). The production of strategies at the end of the project means that there was no time to support implementation and shape the monitoring mechanisms. This is now a task for a second phase.

**Activity 6** invested in the development of community-based rural tourism in Zaamin district of Jizzakh region. The investments appear to be reasonable and in some way effective. No similar investment was made in Namangan region, although planned. The contribution to promotion of Public Private Partnership – the original aim of the activity – did not clearly emerge.

### **Implementation**

The project was implemented within budget and within the timeframe scheduled. Activity 3 was perhaps larger and more extensive than planned, but also attracted additional funding of USD 200,000 for Local Government Information Centres from the UNDP Democratic Governance Thematic Trust Fund (DGTTF). Activities 4 and 5 were smaller in scope than planned.

Recommendations (see p39 for full explanations of recommendations)

#### **For UNDP in general**

1. UNDP should consider continuation of the project into a second phase, as requested by the Prime Minister of Uzbekistan
2. UNDP should be cautious about accepting or funding additional tasks requested by government when they are outside UNDP's core mandate.
3. UNDP should seek to identify funds to extend the second phase of the project into new regions of the country, with a focus on the poorer, more marginalised areas.
4. The situation of women in the civil service is poor, and needs significant attention to ensure that it improves. UNDP – perhaps in conjunction with other UN agencies and non-UN partners – should identify a medium to long term action plan that will support government to encourage women to join the civil service, stay in the civil service, and crucially, be promoted within the civil service at national and local levels.
5. Reform in both local government and civil service is hampered by the absence of clear ministerial responsibility. UNDP could usefully mobilise support from its partners in the international community and jointly work to encourage the government to identify ministerial positions or similar arrangements for these key reforms.

#### **For a second phase of the Local Governance Support Project**

6. The primary focus of a second phase of the LGSP should be to continue to build commitment and readiness for greater decentralisation within central and local government.
7. Find ways to engage independent civil society organisations in dialogue with local government and enable them to strengthen their accountability function
8. The project should again attempt to conduct a functional review to expose inefficiencies within the current structure of local government, but should also provide concrete and realistic recommendations for change, and examples of where such change has taken place successfully in other comparable countries. A prior feasibility study would be needed to formulate a realistic scope and methodology.
9. In the existing pilot areas of Jizzakh and Namangan, the second phase of the project should concentrate on supporting the implementation of the city development

strategies. Identify funds to support specific local projects in support of the strategy's implementation and monitoring.

10. The existing Information Centres in Jizzakh and Namangan need to be encouraged to move towards a two-way communication model with citizens.
11. In both the existing pilot regions and in new regions the project should work with the Kengash (local assemblies) to strengthen its functioning in key areas.
12. The project should support further development of the e-Learning portal with the Academy for Public Administration. The topics of new e-learning courses should be more closely linked to promotion of decentralisation and evidence-based policy making.
13. The second phase of the LGSP needs to track usage of the One Stop Shops closely to ensure that there is an increase in demand for services. If demand does not increase, there needs to be a review of the services to understand why this is the case, and to reformulate the services provided, if necessary. The project should also promote the sustainability of OSSs through policy advice to Government on the legal and financial framework.
14. The successes achieved so far with recommendations on fiscal decentralisation can be used to move forward with other aspects of financial management reform at local level. This could include improved budget management with a focus on planning, performance, financial reporting, transparency and accountability.

## 2 Introduction

### 2.1 Purpose

#### Introduction

This evaluation was commissioned by UNDP Uzbekistan “to provide a comprehensive overall assessment of the [Local Governance Support] project and to provide recommendations for exit strategy and/or follow-up activities”. The Terms of Reference is reproduced as Annex A.

The Local Governance Support Project ran from February 2010 to December 2013. It aimed to “a) to create a favourable legal environment for decentralization, and b) to increase effectiveness, efficiency and transparency of local government bodies and enhance their partnership capacity with civil society and private sector in two pilot regions for further scaling up.” The project output was expected to be “Strengthened capacity of the government, civil society organizations and the private sector in two pilot regions for joint formulation and implementation of regional development strategy; and transferring the lessons learned to the national level for further feedback and consideration into national policy formulation on decentralization.”

The six main project activities were organised so that the first three would aim to achieve the objective a), the ‘favourable legal environment for decentralisation’, and the second three would work towards objective b), ‘the increased effectiveness efficiency and transparency and enhanced partnership capacity of local government’. The activities were as follows:

**Activity 1:** Promoting high level policy dialogue and reform of public administration for ensuring an effective, strategic and practical approach to pro-poor service delivery

**Activity 2:** Institutional and legal framework for streamlining the work and relationships between and within executive and legislative authorities at national level reviewed (horizontal analysis)

**Activity 3:** Facilitation of free access of population to the information related to the work of government bodies at all levels

**Activity 4:** Strengthening capacity of civil servants to provide public services to the population through professional trainings and introducing of modern and innovative approaches to rural/urban development

**Activity 5:** Civil Society Partnership: Institutionalization of the mechanism of participation of citizens and civil society institutions in the process of local development and strategic planning

**Activity 6:** Public Private Partnership: Introducing modern and innovative approaches to recreation resource management in Namangan and Jizzakh regions

The total project budget was USD 2.38 million of which by 7 November 2013 USD 2.18 million was spent, representing an under-spend of 8.4%<sup>3</sup>. Implementation was through the National Implementation Modality. A small project team was located in the capital Tashkent and project offices were located in the pilot areas, Jizzakh and Namangan. The pilot areas consisted of two regional level governments (Khokimiyats) and 25 lower level district and city Khokimiyats.

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<sup>3</sup> By the end of November, actual expenditure had increased to USD 2.3 million, representing an underspend of 3%



## **2.2 Methodology**

This evaluation was conducted between October and November 2013, by a single international consultant. The assignment was combined with work to design a second phase for the LGSP.

The methodology consisted of the following steps:

- Document review and preparation of inception report and research instruments
- Field visit (28 Oct – 2 Nov 2013) including one-day visits to Jizzakh and Namangan
- In-person interviews with at least 40 people (see Annex B for list)
- Participation in LGSP project's Round Table on "Issues of modernization of public administration system"
- Consolidation of notes, additional document research and report writing.

In total, the evaluation and the project design combined used 27 working days. Field work consisted of a total of 5.5 working days, again shared between the evaluation and the project design.

A list of project reports and documents are given in Annex B and Annex E.

## **2.3 Structure of the Report**

The Terms of Reference (see Annex A) contains many objectives and questions. This report has attempted to group these questions into related themes in order to construct a coherent narrative without too much repetition. The main themes are grouped as follows, as presented in the inception report.

Where appropriate, the section headers also include the relevant questions and requests from the Terms of Reference.

This report first provides an overview of the context, the relevance of the design to the context, government goals and UN goals (Section 3). It also examines the relevance of the project as implemented – where there are some differences between plan and implementation – to the needs of the context.

Section 4 examines the results achieved by each of the main areas of activity, and the extent to which they have contributed to the goals of the project, and UNDP.

Section 5 addresses a number of questions relating to the practicalities of implementing the project, including reporting, the project's Adaptive Management Framework, and risk management, partnerships, and project finance.

Finally, section 6 describes the recommendations emerging from the findings.

### 3 Project Concept, Design, and Relevance

#### 3.1 Context of local government

Local government in Uzbekistan is organised on two main levels. There are 12 regions, in addition to Tashkent city and the Republic of Karakalpakstan. Each is led by a Mayor, or “Khokim”, appointed by the President. The regions are sub-divided into 199 lower level administrative units (168 districts and 31 cities). Each of these is overseen by a lower level Khokim appointed by the regional Khokim. The local legislative bodies are known as a ‘Kengash’, composed of elected representatives and chaired by the Khokim. The Khokim thus has both executive and representative responsibility and the Kengash has limited scope to exercise a controlling function over the executive. Accountability is generally upwards to the next level of government, rather than to the people of the area. In terms of organisation culture, local government sees itself an administrator of the territory rather than as a service provider to citizens.

Responsibilities of local government are defined by the constitution, and include: economic, social and cultural development, protection of the environment and ‘formation and implementation of the local budget’ including determination of local taxes and fees<sup>4</sup>. However, these responsibilities are the same for both regional and district/city levels of local government; consequently the division of responsibilities in the same territories is confused.

At national level, there was, and still is, no defined Ministry or agency with responsibility for local government; there is therefore no lead or coordination for efforts to reform local government.

Finance of local government continues to be a contentious issue. In general, the view was that many local government mandates have insufficient funding, and there were few opportunities for local governments to raise their own revenue. However, because local government responsibilities are not clearly defined, the actual situation regarding finance was correspondingly unclear.

The legal framework for the civil service comes under various acts, including the labour law and decisions of the Cabinet of Ministers. Unlike most other transition countries, there is no unified law for the civil service that regulates accountability, professionalism, recruitment and promotion, for example<sup>5</sup>. There is also no defined ministerial responsibility for the civil service and civil service reform.

While women are represented in local administrations, they are generally confined to specific professions such as administration and finance, or sectors including education, health and social services. Cultural factors, long hours, difficult workplace conditions and management styles, and poor childcare services are blamed for low participation of women in higher levels of local government. At the Academy of Public Administration, only six out of 230 Masters students are female, presaging a worrying trend for the future of public administration. Women’s participation in the local elected bodies is also low, at around 16.6% in the regional assemblies, a similar 16.7% in district assemblies and slightly more, at 20.4% in town assemblies<sup>6</sup>.

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<sup>4</sup> Constitution of the Republic of Uzbekistan

<sup>5</sup> OECD Anti-Corruption Network for Eastern Europe and Central Asia, Istanbul Anti-Corruption Action Plan, Uzbekistan Assessment and recommendations p24

<sup>6</sup> As of Dec 2010, source: Women and Men of Uzbekistan 2007-2010 Statistical Bulletin, Tashkent 2012.

The publication in 2008 of the Welfare Improvement Strategy<sup>7</sup> marked the start of a steady reform process, which has gathered pace in the last three years. This reform has included public administration, and some key elements have affected local government. The UNDAF notes that “[i]n looking at the functioning of local administrations, there is a growing awareness of the need for local decision-making mechanisms to be strengthened to ensure that they can both effectively respond to and be accountable to their populations” (UNDAF p22). A new Welfare Improvement Strategy has been published, with the support of the Asian Development Bank, for 2013-2015<sup>8</sup>.

One of the major components of public administration reform is a concerted drive to introduce computer systems and internet technologies into all areas of government. One stated aim is to enable access to 200 key government services via the internet. A strong central institution, the Coordinating Council for Development of Computerization and ICT has been created under the Cabinet of Ministers. This coordinates, *inter alia*, the work of the well-resourced State Committee for Communications, Informatization and Telecommunication Technologies, which has responsibility for introducing e-government systems. The State Committee was responsible for developing ‘*e-Hujjat*’ an open-source document management system now adopted by many government bodies. A key barrier to this strategy is the low penetration of internet access among businesses<sup>9</sup> and the general population<sup>10</sup>.

The Academy of Public Administration was re-established in 2012 by Presidential Decree to provide a firm academic basis for the government system and capacity development of civil servants at all levels. This institution brings staff with global experience and modern teaching methods to educate mid-career civil servants from both national and local levels.

New legislation is under consideration to govern citizens’ free access to public information. This legislation would provide a framework for local governments’ decisions about what information they are obliged to provide to their citizens.

There are also signs of improvement in the situation of civil society organisations. In a recent report, the President “recognized the importance and usefulness of establishing and developing civil society institutions and NGOs in Uzbekistan”<sup>11</sup>.

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<sup>7</sup> [www.imf.org/external/pubs/ft/scr/2008/cr0834.pdf](http://www.imf.org/external/pubs/ft/scr/2008/cr0834.pdf)

<sup>8</sup> <http://wis.ifmr.uz/> **Error! Hyperlink reference not valid.**

<sup>9</sup> Less than 50% of businesses have internet access and/or use computers, Chamber of Commerce, interview 28/10/2013

<sup>10</sup> In 2012 there were 0.7 fixed internet subscribers per 100 people, and 36 internet users per 100 people, World Bank Uzbekistan country statistics, extracted 12/11/2013 <http://data.worldbank.org/country/uzbekistan>

<sup>11</sup> Reported by International Center for Not-for-profit Law, NGO Law Monitor for Uzbekistan: [www.icnl.org/research/monitor/uzbekistan.pdf](http://www.icnl.org/research/monitor/uzbekistan.pdf)

## 3.2 Project relevance

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Related evaluation questions from Terms of Reference

*Project concept and design: The evaluator will assess the project concept and design. He/she should review and provide an evaluation of the project strategy, planned outputs, activities and inputs, implementation modality, clarity and effectiveness of management arrangements and cost-effectiveness of approaches taken in relation to the overall project objectives. The evaluator will assess the achievement of results and targets against the project work plans.*

*Link also project to UNDP country programme and UNDAF.*

*Link project to national context and support requests from government, plus other factors if relevant.*

*Project Strategy: How and why outputs contribute to the achievement of the expected results. Examine their relevance and whether they provide the most effective route towards results.*

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### Project Objectives

According to the Project Document of 22/2/2011, "The project ... contributes to fulfil the UNDAF Outcome 5, signed and approved by Government of Uzbekistan: **Strengthening the capacity and partnership of government and civil society for more effective administration**, with a corresponding Country Programme outcome on support to "**public administration strengthened at all levels for more efficiency, accountability and inclusiveness**".

For the LGSP project specifically, the expected project output was: **Strengthened capacity of the government, civil society organizations and the private sector in two pilot regions for joint formulation and implementation of regional development strategy; and transferring the lessons learned to the national level for further feedback and consideration into national policy formulation on decentralization.**

### Overall objective

This section aims to address two key questions. First, whether the project as designed and implemented was relevant to the aims of the Government of Uzbekistan and the needs of other factors in the prevailing context. The second is whether the strategy inherent in the project design was an appropriate and effective approach to achieving the project's objectives.

From the perspective of the Government of Uzbekistan, the key document setting out proposed reforms was the Welfare Improvement Strategy of 2008-2010 (WISP). This is based on the Poverty Reduction Strategy Paper (PRSP) format promoted by the World Bank and International Monetary Fund, and has the formal commitment of the Government of Uzbekistan. For the purposes of this evaluation, the WISP is assumed to provide an authoritative assessment of needs, and to give the most appropriate and feasible policy directions in response to the needs, and given the governance context. The strategy highlights some a wide range of actions to which the Government of Uzbekistan committed itself and which are directly relevant to the LGSP project:

- "Decentralization of governance, and improvement of the forms and methods of the activities of local authorities. In order for local government bodies to be more focused in their activities the following measures [...] to be taken [include]:
  - precise delineation of the functions, tasks and responsibility of central and local authorities; [...]

- transparency of the area-based development programs adopted by local authorities and accountability before the population for their implementation;
- support for the effective functioning and development of civil self-governance bodies and civil society institutions.” (WIS 2008 p 100)
- “Conducting civil service reform. The basic measures for the long term will be:
  - adoption of the Law “On Civil Service”, determining the status, rights and obligations of civil servants, criteria for promotion, mechanisms for incentives and the benefits of civil servants.
  - development of a professional training system of civil servants [and] [i]mprovement of the inservice training system [...]” (WIS 2008 pp 100-101)
- facilitate the development of public-private partnerships (PPP) (WIS p103),
- public awareness of government activities and [...] reforms [...] will be substantially enhanced through wide scale publications and discussions of these issues in the media<sup>12</sup>.

The WISP also highlights a commitment of the Government to “enhancing the involvement of civil society and the private sector in the process of decision making, and enhancing transparency and accountability in the activities of executive bodies” by “institutionalization of a consultation process between the Government, Parliament and stakeholders” and “facilitating free access to information on the activities of government bodies”. (WISP 2008 p 97).

The six activities of the LGSP project are closely aligned with these commitments, and so the design is highly relevant to the stated national priorities. In addition, the WISP sets itself as “the foundation for implementing methods and approaches of strategic governance at the regional level”, and proposes that “[p]olicies and new initiatives reflected in the WISP could be pilot-tested as regional-level experiments, and then subsequently clarified and disseminated nationally.” Therefore the overall approach of the LGSP – as a regional project to test out approaches to reform – is very much in line with the thinking set out in the WISP.

There were two substantive amendments to the project design during implementation, as follows:

- Piloting of two One Stop Shops were added to the project under Activity 3, described in the revised 2011 project document
- The planned activities on Public Private Partnership (Activity 6) were changed to an activity on developing rural community based tourism. This change was approved by the project board, but not reflected in the project document.

The addition of One Stop Shops to the project served to increase the relevance and appropriateness of the project. The relatively low public access to the internet means that there is a risk of excluding people from certain public services that are provided online. Establishment of the One Stop Shops provides a location for people without use of the internet to access public services, and also provides some consolidation of public services provided by a range of local institutions.

The move away from the Public Private Partnership actions under Activity 6 was a sensible response to a challenging situation. The likelihood of fair, useful and effective PPP in the current context is low, because of challenges in the legal framework, political system, company ownership and land tenure. The focus on rural tourism was indicated in project documents, but the actual implementation of the project downplayed the PPP element,

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<sup>12</sup> Extracted from Welfare Improvement Strategy of Uzbekistan 2008-2010 p13

and concentrated more on direct activities in community based tourism. Without a PPP component, the relevance of this activity to local government reform and in particular to the defined project output is not clear. The Regional Development Strategies had not been undertaken at that stage, so rural tourism had not been identified as a development priority. The ability of local governments to use the activity as a model for their own support to economic development is also not immediately apparent, given the resources and technical know-how they have available. However, the rural tourism development model was piloted together with branding of placement and lessons learned were codified to transfer it to other regions for replication within the available regional resources of Khokimiyats.

### 3.3 Achievements of the overall strategic approach

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Relevant Terms of Reference Question:

*Project Strategy: How and why outputs contribute to the achievement of the expected results. Examine their relevance and whether they provide the most effective route towards results.*

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The project strategy **implicit in the project document design** can be characterised by the two main objectives – creating “a favourable legal environment for decentralisation”, and increasing “effectiveness, efficiency and transparency of local government bodies and enhance their partnership capacity with civil society and private sector in two pilot regions for further scaling up”.

In a highly centralised government system such as Uzbekistan, the route to achieving change is primarily through influencing those at the centre of power – in this case the President and the Cabinet of Ministers. Controlled and ‘safe’ demonstrations of changes to institutions in local areas can serve as working examples for more generalised change. The LGSP approach aimed to demonstrate working models of change that would serve as demonstrations to senior politicians that the commitments set out in the WISP and other policy documents do indeed work, and can provide improvements to society that do not threaten their basic political interests.

The other aspect to the strategy was to promote discussion about the possible shape of reforms that could take place, and ground the discussion on examples from other countries, but without promoting a particular model. By involving key decision makers and influencers in the discussion, organising study tours, presenting nearly 30 policy papers and providing expert inputs to draft laws and policy documents, the LGSP project aimed to assist the process of policy formulation.

Other specific project activities aimed to promote these two major strands of the strategy. The piloting of E-governance at local level (Activity 3) would be a clear contribution to the efficiency of local government, and might pave the way for structural change if inconsistencies and inefficiencies became sufficiently exposed.

Training of mid-level civil servants (Activity 4) would promote awareness and discussion among a wider group of public employees. This would both prepare the ground for any future policy move and influence higher-level managers.

Openness and transparency are assumed to be key drivers of reform. The introduction of Information Centres (Activity 3) was designed to be a contribution to the increase in public awareness of the activities of their local governments and to open channels of two-way communication between citizens and the authorities. A small increase in the perception of public scrutiny can contribute to greater accountability of those in power.

The preparation of regional development strategies involving civil society and private sector organisations (Activity 5) was clearly aiming to promote the inclusiveness of local

governments and improve the quality of decision-making. At the same time, participation in a planning process would be an appropriate opportunity for developing new skills and capacities for all participants, resulting in stronger partnership, clearer focus and greater accountability and transparency.

Finally, the development of public private partnerships (Activity 6) would demonstrate tools for local governments to deliver services and other responsibilities more effectively and leverage investment resources from the private sector. A successful demonstration would provide examples for further replication. Challenges would demonstrate the institutional and legal changes that were needed.

The **strategy followed by the actual implementation of the project** varied in some aspects from the original plan. The following describes some of the key learning points drawn from the experience of project implementation in relation to the overall project strategy.

The delivery of solid and tangible benefits to local government through Activity 3 components (e-Hujjat, Information Centres and One Stop Shops) did indeed **build trust** and appreciation of the project among local governments, enabling more effective implementation of other project activities.

The **presence of project personnel in local offices** was a key factor in building close working relations with the Khokimiyats, providing effective support to project implementation, and continuity and coordination between project activities.

The **Inter-Ministerial Working Group** and the Project Board were both essential forums for linking the field work of the project to the government reforms under consideration. Without these, the project could not have contributed to policy level reform.

To some extent, the goals set for the project were too optimistic. The functional review (Activity 2) faced more opposition than expected. This led to the realisation that more work is needed to create greater awareness and political readiness for change before the anticipated legislative change can be achieved. More effort was needed to support the government to identify ministerial responsibility for local government; a necessary step before working on the shape and content of local government reform.

The concentration of civil service training activities (Activity 4) on supporting the implementation of Activity 3 (training in IT, e-Hujjat, public relations etc) missed the opportunity to create a wider awareness of the needs for structural reform in local government. More training and workshops looking at subjects originally proposed in the project document would be more likely to increase the capacities of local government officials to accept and implement reform measures.

Engagement with civil society (Activity 5) to strengthen the accountability and inclusiveness of local government in theory will only work if civil society is genuinely independent of local/central government and can provide a real accountability mechanism. CSOs that depend on government for their funding and/or mandate are in a much more difficult position when it comes to holding government to account. Likewise, the media performs an important accountability function when it reports fairly on local issues raised by citizens and CSOs. This is likely to be more effective when there are fewer media ties to government. In the case of the LGSP, the limited ability of the project to work with a representative range of CSOs has hampered the project's ability to strengthen the accountability of local government.

The Regional Development Strategies (Activity 5) were foreseen as the key element of the project.<sup>13</sup> The delays in implementation meant that they could not be used as the basis to

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<sup>13</sup> The expected project output was: Strengthened capacity of the government, civil society organizations and the private sector in two pilot regions for joint formulation and implementation of regional development strategy;

justify and put into context other aspects of the project. Future projects should endeavour to bring forward preparation of regional strategies to act as the focus for other project activities.

Overall, the objectives set out in the project document and the work actually done were relevant to the needs and policy direction of the country, and the strategy was an appropriate approach to achieve the objectives.

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and transferring the lessons learned to the national level for further feedback and consideration into national policy formulation on decentralization.



## 4 Results and effectiveness

### 4.1 Activity 1: Promotion of policy dialogue on local governance support

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Extracts from Revised Project Document, January 2011:

*Activity 1: Promoting high level policy dialogue and reform of public administration for ensuring an effective, strategic and practical approach to pro-poor service delivery*

*Planned actions:*

*Action 1.1: Awareness raising and advocacy*

*Action 1.2: Stakeholder analysis and resource mobilization for decentralization and public administration reform.*

*Action 1.3: Promoting equality and opportunities for greater participation of women in the professional civil service*

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#### Results achieved

The policy dialogue activity was designed as part of component 1 of the project, "Creating an enabling legal and policy environment for decentralization". The intention was to generate a sufficient interest and political will to move forward with the legislative and institutional changes required for genuine decentralisation of authority to local government levels. Another component of this activity was to take action on the gender balance in local government. The baseline numbers of women in executive power are dismal; quoted as 96.6% men and 3.4% women. The targets set were ambitious: by 2012 it was expected that "the reform needs are well understood and a Road Map for a gradual public administration and local governance reform are formulated and owned by the state". And by 2013 it was expected that "the number of women holding executive positions in the local government is at least 20%".

While the Road Map does not yet exist, there are certainly moves in this direction. The Government's 2013 "Welfare Improvement Strategy 2013-2015" identifies the need to develop recommendations to strengthen the process of decentralisation<sup>14</sup> and the need for decentralisation in order to increase the efficiency of state administration at the local level<sup>15</sup>. The same strategy identifies the need for further fiscal decentralisation, with the involvement of 'NGOs and other bodies of self-governance'<sup>16</sup>.

The LGSP was requested by Government to provide research on civil service reform in selected countries to assist in the preparation of a draft law on civil service in Uzbekistan. The research was prepared as requested and has contributed to moving forward the process of reform.

While the outputs achieved are not quite the 'Road Map' envisaged, there is certainly enough evidence from interviews with government officials to indicate that LGSP has contributed to progress in the thinking at ministerial level regarding decentralisation and civil service reform.

Regarding the 20% target for women in executive position in local government, according to interviews, this has not been achieved. It was an ambitious and unrealistic target in the first place, although the efforts of the LGSP team to reach this target were only modest. A single recommendation from an analytical report suggested inclusion of 30% of women on a reserve list for civil service recruitment as well as posting online vacancy announcements

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<sup>14</sup> Welfare Improvement Strategy p62

<sup>15</sup> Welfare Improvement Strategy p108

<sup>16</sup> Welfare Improvement Strategy p111

for positions at local governments. Changes to the gender composition of the civil service will take time and require fundamental reform. A future project needs to look at the underlying causes of the low percentage of women in the civil service, and identify clear, long-term strategies to address these causes.

The key achievement under this activity was the establishment of an Inter-Agency Coordinating Working Group, which consisted of 13 members from the Cabinet of Ministers and Ministries. It was established on 9 September 2011 by a decision (No.12/15-930) of the Prime Minister of Uzbekistan. The working group proved to be an effective forum for discussion of key issues relating to decentralisation, and a mechanism for building a good working relationship between UNDP and the government, including local government. The working group also contributed to the identification of excellent opportunities, such as cooperation with the Academy of Public Administration, and linking the LGSP project to government initiatives on e-Government and other ICT policies.

Other actions planned under this activity were not completed, or not followed through. These included the compilation of an 'E-database of government initiatives' and action 1.2 "stakeholder analysis and resource mobilisation for decentralisation and public administration reform". A "concept note on administrative decentralization" was in the process of being drafted, but not completed, according to project reports.

#### Assessment of effectiveness

The inter-agency working group, together with inputs from various research papers and study tours, appears to have been effective in assisting the government to move in the direction of greater decentralisation. Although rhetoric and documents are showing a change in attitude, concrete steps have yet to be taken.

Changes to the participation of women in the local civil service have not been effective in achieving the goal, although the goal set was ambitious.

Partnership with the newly re-formed Academy of Public Administration became an essential part of the success of the project, although not identified or planned at the project's inception. The Academy has become a valuable partner and is an instrument for longer-term institutional and structural change. Over the coming years, a phase 2 of the project should take advantage of the opportunities created.

## 4.2 Activity 2: Institutional and legal framework for local governance system

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Extracts from Revised Project Document, January 2011:

*Activity 2: "Institutional and legal framework for streamlining the work and relationships between and within executive and legislative authorities at national level reviewed (horizontal analysis)"*

*Action 2.1: Structural and functional assessment of regional and local executive and legislative bodies in selected pilot regions*

*Action 2.2: Improvement of the existing legislative framework and preparation of recommendations on new legislation.*

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#### Results achieved

A draft functional analysis "Strengthening Capacities for Delivering Five [Four] Public Services at the Local Level in Uzbekistan" was produced by the LGSP project, based on the work of a team of local and international consultants. The findings of the review were challenged by the Ministry of Labour and Social Protection and the Mahalla Foundation, which made it difficult to report on some of the true challenges facing local government. The recommendations of the report consequently focus on less controversial aspects of

performance improvement, without being able to address some underlying issues. The report mainly looks at efficiency improvements in current processes, but does not tackle issues of duplication of functions, location of policy decisions, financing of services and quality control and inspection.

The edited report nevertheless was considered by the inter-agency working group, which promised to take up the recommendations with respective ministries. The report also formed the basis of later work to introduce One Stop Shops and the document management system 'e-Hujjat'.

The ambitious targets set for 2012 were for "[a] package of recommendations for enhancing the structure, functions and relations of the executive and representative bodies at national, regional and local levels [to be] accepted and owned by the state;" and "[a]t least 7 existing framework laws [to be] reviewed and amended; [and] 3 new laws [...] proposed for consideration. And by 2013 it was anticipated that "[t]he government introduces quality changes into the structure and functional division of its governance system on national, regional and local levels".

While the LGSP did work in this direction, these targets were not met. By the time of the evaluation mission, in October 2013, there was no comprehensive package of recommendations for such far-reaching change dealing with the "structure, functions and relations of the executive and representative bodies at national, regional and local levels". In reality, such a package would have to be directly sanctioned by the President, and would have required substantial investment in time and energy to examine all the suggested aspects of executive and legislative government. These targets should be considered unrealistic for the LGSP project.

Nevertheless, the project was able to achieve some modest steps in the direction of reform. Research on fiscal decentralisation produced some practical recommendations which were adopted and implemented by the Ministry of Finance, resulting in increased own revenues for local governments. The One Stop Shops and Local Government Information Centres piloted under Activity 3, and concept notes produced based on this experience, were the basis for proposals for legislation on One Stop Shops and Transparency of State Authorities. The LGSP has also been identified as a partner to assist government in optimisation of the tax system for both corporate entities and individuals.

#### Assessment of effectiveness

The effectiveness of the LGSP's activities to influence change is heavily dependent on the Government's agenda and its willingness to address fundamental challenges. For the LGSP, the timing was obviously not right to carry out a functional review of the nature originally intended. As a result, this activity cannot be said to have been as effective as planned. However, the adjustments made to the plans, and the opportunities taken led to the review on fiscal decentralisation, for which the government was receptive. This modest success positions the project and UNDP as reliable policy advisors to the government, and can be the basis for deeper and more far-reaching policy advice.

### 4.3 Activity 3: Facilitating access to public information and services

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Extracts from Revised Project Document, January 2011:

*Activity 3: Facilitation of free access of population to the information related to the work of government bodies at all levels*

*Action 3.1: Institutionalization and capacity building of information centers for local governments*

*Action 3.2: Introduction of E-government in the pilot regions*

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## Results achieved

The definition of the actions for this activity were substantially updated for the revised 2011 project document. Additional resources – USD 200,000 - from the UNDP Democratic Governance Thematic Trust Fund were obtained for the creation of Local Government Information Centres, an action that was not specifically included in the original project document.

Activity 3 represents the largest proportion of actual funds used for the project of all six activities, amounting to some USD 768,000 or 35.2% of the total to October 2013. The level of work involved, plus expenditure on IT and other equipment, was substantial. In total, this activity established six Local Government Information Centres, two One Stop Shops, and implemented the e-Hujjat document management system in 27 Khokimiyats in the two pilot regions.

### Information Centres

Targets set for the information centres in the project document were fully met. Six Information Centres were established in the Khokimiyats of Jizzakh and Namangan regions, Jizzakh and Namangan cities, Zaamin district (in Jizzakh region) and Yangikurgan district (in Namangan region). The aim was “to provide easy access for citizens to public information and to ensure the transparency of performance of local governments”.

The Information Centres were provided with modern audiovisual equipment, including broadcast quality video cameras, computers and website hosting capability. The staff were given on-the-job training by local consultants on media relations, public communications and outreach work with citizens, and a handbook was developed.

Evaluation visits to four of the Information Centres revealed professional operations with qualified and motivated staff. The quality of audio-visual production was high, and the quantity of outputs such as newspaper and internet articles, TV reports and radio reports was steady<sup>17</sup>.

However, the Information Centres gave the impression that their work was primarily to give the press and public a positive image of the work of the Khokimiyat – like a government press office or corporate Public Relations unit – rather than as a true initiative to provide access to public information and transparency. A limited number of press conferences and briefings were held for press (not public), but again, the impression from interviews is that these were more opportunities to inform rather than to have discussion or answer questions.

There was strong support of the Information Centres from senior management of the Khokimiyats, and sustainability seems assured.

Based on the experience with the Information Centres, LGSP sent proposed amendments to a new draft law on transparency of government to the official Working Group for the law.

A Handbook for Local Government Information Centres was disseminated among more than 500 local government and other relevant personnel throughout the country, including in Samarqand and Bukhara regions where a legal experiment for the draft law on transparency was taking place.

### One Stop Shops

The target to achieve “Two OSS in pilot regions are fully operational” by 2012 was fully met by the time of the evaluation in October 2013. The two One Stop Shops established by the LGSP project are located in Namangan and Jizzakh cities, linked to the city Khokimiyats.

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<sup>17</sup> The LGSP project information poster gives the following statistics for all 6 information centres in 2012: 333 TV reports, 465 newspaper articles, 807 internet articles, 235 press releases, 341 photo reports, 216 radio reports, 21 press conferences and briefings.

They are established as not-for-profit independent organisations founded and owned by the respective Khokimiyats. As independent organisations, they are expected to be self-financing, though with a view to attracting partial or full budget support from the local governments they support.

The services provided are mainly information about local government services and utilities. For example, they can provide information on job vacancies, places available at local schools, and the status of accounts with utility providers. They cannot yet offer payment services for utilities, nor make actual transactions on behalf of citizens. Some services provided are free of charge, while others require a small fee. One popular service that requires a fee is to assist businesses to submit their tax returns online. This mix of free and paid-for services enables the One-Stop-Shop to offer essential services to citizens for free, while generating enough revenue to be sustainable.

Measures were taken to ensure that the OSSs were accessible to disabled people, including Deaf people and wheelchair users.

The Jizzakh OSS has shown that self-sustainability is possible by providing services such as legal advice, seminars and training, and photo, video, computer and website design services for a fee. The Namangan OSS was not self-sustaining, and closed for a time. It reopened in June 2013 with a new director, and learned lessons in sustainability from the Jizzakh experience.

A plan to install child-care facilities in the OSSs in partnership with UNICEF was shelved when the expected funding from UNICEF did not materialise for bureaucratic reasons.

Demand for the services can be described as steady rather than overwhelming. In 2012, the Jizzakh OSS had 4,486 requests for services, approximately 17 per day. In the first quarter of 2013, requests numbered 1,805, or around 28 per day. With a full time staff of four operators, it represents seven requests per operator per day. Namangan had somewhat lower demand, but was closed for part of the year.

### **E-Governance**

An impressive achievement of the project was the implementation of an e-governance system (known as 'e-Hujjat') in 27 total regions and districts/cities in Namangan and Jizzakh. The system automated the government procedures of sending out decisions and orders to subsidiary government bodies and departments and monitoring compliance. The system was based on an existing open-source central government document management system, but adapted and improved by LGSP for use at local government levels as well. In addition to automating current document flows, historical decisions and regulations were scanned and entered into the system to create a comprehensive reference source.

**The open-source nature of the software is an important factor in sustainability.** Previous attempts (by other agencies) to introduce document management systems have failed because they were based on expensive proprietary systems such as Oracle.

Implementation of the system required purchase and installation of equipment, training of staff, and providing electronic signatures for over 300 staff. This last item highlighted one of the key challenges of civil service reform; that there are no clearly defined legal authorities of staff in local government, and so makes it difficult to define electronic powers of authorisation – i.e. who can sign off on what decisions and actions.

The introduction of the e-Hujjat system at local government level is in line with government policy. There is a strong push to modernise the processes of administration, starting with central government. The LGSP has played a role in assisting the government with its "E-Governance Master Plan", establishing partnership with UNDESA E-government advisors, and providing advice on inter-operability between government departments and bodies.

As confirmation of the government's recognition of UNDP and LGSP as a trusted partner in e-governance, UNDP has been requested to assist in the creation of a unified billing system for utilities in Tashkent city.

## Assessment of effectiveness

### Information Centres

It can certainly be argued that the political and cultural environment in Uzbekistan is a difficult one in which to implement a genuine initiative on openness and transparency, and that many local governments in many parts of the world are wary of transparency. Initiatives to support transparency generally have many aspects, including a legal framework to oblige governments to give out information, public communication to encourage people to seek information. Crucially, building a strong environment for freedom of information requires strong, independent civil society organisations to actively pursue enquiries for government information and to seek judicial remedy if it is not forthcoming.

The LGSP project did indeed build the Information Centres as planned, but it is doubtful that the centres were effective in "ensuring the transparency of performance of local governments". This is a design and strategic issue for the project; provision of true information about local government performance is unlikely – no matter how well resourced and well qualified the information centre – without a strong demand and legal protection for those demanding information. In Uzbekistan today, it is unlikely that either of these last two conditions are met. Future work to strengthen freedom of information needs to work not just with the providers of information, but also with the users of information – citizens and civil society organisations – to empower them to demand information that is within their legal right.

In a context in which information about the work of local government has hitherto been very restricted, this initiative should nevertheless be seen as a positive step forward.

### One Stop Shops

The pilot OSSs have set an example for effective provision of public services, and a model for the future. A key requirement for the OSSs is to obtain the authority from the various public services to make actual transactions such as bill payments. A service where citizens can make bill payments for a range of utilities in one place would be considerably more attractive, and have greater impact.

The contrast between the low rates of internet accessibility and availability in Uzbekistan, and the speed and efficiency with which the Government is determined to introduce e-Government is likely to create a 'digital divide'<sup>18,19</sup> in access to government services. The One-Stop-Shops are therefore an essential service to enable citizens without ready access to the internet, or who are computer illiterate to be able to access government services. Growth in One-Stop-Shops should be seen as an essential part of the government's e-Governance strategy to ensure that millions of citizens are not left behind.

A draft decree is currently in process, and is expected to be adopted by the President, which will establish One Stop Shops as an integral part of government services, and therefore as eligible for funding from the government budget. This decree had substantial input from the LGSP project and the UNDP/BFU (Phase-2) Project in cooperation with

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<sup>18</sup> Less than 50% of businesses have internet access and/or use computers, Chamber of Commerce, interview 28/10/2013

<sup>19</sup> In 2012 there were 0.7 fixed internet subscribers per 100 people, and 36 internet users per 100 people, World Bank Uzbekistan country statistics, extracted 12/11/2013 <http://data.worldbank.org/country/uzbekistan>

Chamber of Commerce and Industry. If adopted, the decree would ensure the sustainability of the OSSs.

### **E-Government**

The LGSP role in introducing e-government is very popular with the staff and management of the Khokimiyats. It has made their life easier, and introduces a systematic and paper-free means to store, distribute and monitor implementation of official documents. Interviewees all cited the reduction in use of paper and printing costs as key advantages.

The e-Hujjat system has no doubt speeded up the work of local government, and made the relations between central and local government more efficient. Up to a quarter of the documents handled by the regional Khokimiyats in 2012 originated from central government. In 2012, twelve of the district and city Khokimiyats in Jizzakh region mostly handled over 2,000 documents each, and the region dealt with nearly 4,000 through the system (around 15 per day).

While efficiency gains are clear, the E-Hujjat implementation has not so far, however, made any appreciable change or reform to the policy and structure of government. It is hard to identify the substantial contribution made by the e-Hujjat project to the aim of this project component, "creating an enabling legal and policy environment for decentralization".

However, the success of this action in the eyes of government officials can be seen as one contribution to the trust between government and UNDP. It positions UNDP and the LGSP project well for further reform that may have a more substantial and positive impact on the lives of citizens.

## **4.4 Activity 4: Strengthening capacities of civil servants**

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Extracts from Revised Project Document, January 2011:

*Activity 4: Strengthening capacity of civil servants to provide public services to the population through professional trainings and introducing of modern and innovative approaches to rural/urban development*

*Action 4: Capacity assessment of civil servants for public service delivery in two pilot regions conducted*

*Action 4.1: Training needs assessment at regional, district and local level in the pilot regions*

*Action 4.2: Implementation of a series of trainings for regional, district and local government officials in the pilot regions (training modules, including self-learning)*

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### **Results achieved**

The project document described how Activity 4 would create a "Permanent training facility under ASSC [Academy for State and Social Construction] ... for local government officials as capacity development is seen as an integral part of functioning of local governments". It also proposed that training for local civil servants "may include Public Administration Theory, Financial management, Statistical Analyses, gender mainstreaming and gender budgeting, ICT and e-governance, social partnerships, WIS and the MDGs, financial audit and program evaluation, leadership ethics, cost-benefit analysis, working with the media, strategic planning, forecasting, interaction with the local elected bodies, etc."

A specific training needs analysis was not conducted, but included as part of the Functional Review and Capacity Assessment from Activity 2. Project reports list the following training courses accomplished:

- ICT trainings ... for [a] total of 35 junior and mid level government participants
- PR trainings ... for [a] total of 30 junior and mid level government participants

- interactive trainings on basic ICT skills ... for 30 employees of Khokimiyats in Namangan region and 31 civil servants of the Khokimiyats of Jizzakh region, including for operators of 2 OSS
- Two-day training on “The principles of operation with the protocol of information database and document transmission within the information system of OSS by using digital signature” was conducted in May for 2 OSS staff and its partners in both Namangan and Jizzakh cities (total 34 participants, of whom 20% women)
- A two-days training for 65 (40% women participation) middle level government officials of Jizzakh and Namangan Khokimiyats, [which] enhanced their skills on strategic planning and negotiations to provide better and client-oriented public services to citizens.
- 2 trainings on results-based management advanced the functional skills of 30 staff representatives (5 women) of regional, city and district Khokimiyats in Namangan and Jizzakh regions.
- 20 (10% women) government officials were determined from Khokimiyats of Jizzakh region for distance learning and participating in online courses, organized by LGSP in cooperation with Academy of Public Administration.
- A series of trainings on information literacy and modern Library systems (JSTOR, OECD i-Library, UNPAN) training for librarians, teachers and Master students of Academy of Public Administration were started for the period of 3 months covering in total 217 (13% women) participants.
- The piloting of basic ICT skills course was launched for 40 (3 women) mid-level and junior level civil servants in Jizzakh and Namangan regions at [www.max.dba.uz](http://www.max.dba.uz), the online education portal of Academy of Public Administration.

A key partnership was developed with the newly reformed Academy of Public Administration (the former ‘Academy for State and Social Construction’]. Through this partnership, an e-learning portal was developed, and courses in basic ICT skills, the e-Hujjat document management system, and, scheduled for completion in December 2013, a course in Results Based Management.

#### Assessment of effectiveness

This evaluation did not have scope to assess systematically the quality or effectiveness of the training, nor did it set out to verify the participation of those trained. The following comments are observations based on review of the documentation and interviews with a small selection of those trained.

It is critical to note that a separate training needs analysis was conducted only at the regional level. Since the Functional Review and Capacity Assessment study was focused on improving service delivery at local level, there was no assessment of wider public management skills, such as strategic analysis, policy development, public financial management, and so on. In fact, almost none of the long list of proposed possible training set out in the project document and quoted above was delivered. What was delivered was training primarily linked to Activity 3: the One Stop Shops, e-Hujjat and the Information Centres.

The main project objectives were to a) “create a favourable legal environment for decentralization”, and b) “increase the effectiveness, efficiency and transparency of local government...and enhance their partnership capacity with civil society and private sector...” It was a missed opportunity for the project not to engage in training and learning opportunities for senior and middle management in topics that would create a local



government environment more receptive to ideas of decentralisation, public service effectiveness and the benefits of transparency; not only how to be efficient.

The gender balance in much of the training was considerably better than the overall representation of women in the civil service, so the efforts of the LGSP team in that regard should be recognised.

The partnership with the Academy of Public Administration and the developing of the e-learning portal appears to be a sensible and positive initiative. It will require substantially more investment, testing and systematic evaluation to ensure that the potential of the mechanism is realised in terms of improved public administration performance.

#### **4.5 Activity Result 5: Facilitating civil society partnership**

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Extracts from Revised Project Document, January 2011:

*Activity 5: Civil Society Partnership: Institutionalization of the mechanism of participation of citizens and civil society institutions in the process of local development and strategic planning*

*Action 5.1: Assessment of the existing regional and district planning process*

*Action 5.2: Organizing study tours for selected central, regional and district officials to selected countries to gain hands-on knowledge on participatory strategic planning*

*Action 5.3: Organization of a national round tables/conference on regional and district planning with participation of a wide range of central, regional and district officials*

*Action 5.4: Organization of a national round table on regional and district planning with participation of representatives of civil society, private sector and government officials*

*Action 5.5: Formulation of complex recommendation on reform of the regional and district planning system by an Inter-Ministerial Working Group supported by national experts*

*Action 5.6: Strengthening capacities of NGOs (small size nongovernment organizations) in the pilot regions*

*Action 5.7: Introduction of clear mechanism of partnership between citizens and local government bodies through institutionalization of consultations procedure within the process of public administration (based on the CCI Public Councils' example) and monitoring of implementation of taken decisions*

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#### **Results achieved**

This activity focused on the preparation of a Regional Development Strategy, and the preparatory activities required for a consultative and inclusive process. The project document explicitly links to the national level Welfare Improvement Strategy (WIS), which aims to institutionalise a process of consultation between Government, Parliament and other stakeholders. The LGSP aimed to support implementation of the WIS by institutionalising an equivalent consultation mechanism at sub-national level.

By October 2013, this activity had consumed the smallest proportion of the total project expenditure of all activities: USD 145,000 was actually spent, some 6.65% of total expenditure, and 19% under-spent against budget.

As a design strategy, there is a clear logic to using the preparation of regional development strategies as a focus for building civil society capacity and engaging civil society with local government. It provides a national level mandate – the Welfare Improvement Strategy – and a clear theme and direction for civil society capacity building.

At the time this evaluation was conducted (October/November 2013), the strategies for both Namangan and Jizzakh cities had not been completed. They were due to complete by

the end of the year. This means, however, that the evaluation did not have sight of the developed plans, and so cannot comment on quality or content.

Preparatory work involved researching legislation for private enterprise and NGOs, and developing training modules for NGO capacity development and private sector representatives.

The methodology for the regional development strategy moved through two iterations. The first draft methodology was prepared by the Institute for Macroeconomic Research and Forecasting, which is an official government body established under the Cabinet of Ministers. A second iteration was developed with the assistance of the UNDP Bratislava Regional Centre (BRC), which aimed to make the methodology more participative and inclusive. The revised methodology tested the “Self-Assessment Tool for Sustainable Local Development (SAT4SLD)”, which aimed “to identify the gaps and solutions in local development planning process jointly with local NGOs, private businesses and local governments”<sup>20</sup>.

Training and other inputs delivered included:

- two roundtables on accountability of project initiatives at the local level (2011)
- 45 members (8 women) for 2 Regional Developments Strategy groups were trained on results-based management, participatory design of regional development strategy and SWOT analysis (2012)
- Nearly 30 local NGOs in pilot regions discussed the challenges and solutions on establishing partnership between local governments, private sector and CSOs

#### Assessment of effectiveness

Overall, this component appears to have been disappointing in the results achieved so far.

There appeared to have been substantial investment in exercises to assess capacities of CSOs and local private enterprises, and to develop training modules for civil society. In the end, actual training delivered consisted of training the regional strategy participants (who were not all NGO/CSO staff or personnel) in results based management and participatory design of the regional development strategy.

The engagement of CSOs in the strategy development process itself should have helped to strengthen some organisational capacity through practical learning, although this evaluation was not able to test this hypothesis.

The strategy process itself took some time to develop, delaying the completion of the regional development strategies. This meant in turn that there was insufficient time to see if the envisaged mechanisms of consultation could be ‘institutionalised’. This may yet come in the second phase of the programme.

Interviews in Namangan suggested that the strategy development process was rather technocratic and driven by experts and economic analysis. In Jizzakh, by contrast, the impression given was of a wider consultation process, and with some consideration given to ideas and suggestions from a variety of sources. Given the time constraints for the evaluation and in the absence of the strategy documents themselves, the interviews could not give more than an impression of the process.

The representativeness of the participation in the strategy process is also questionable. The participants in the strategy process were “assigned by deputy regional Khokims”<sup>21</sup>. In Jizzakh, the at least five out of seven NGOs and other organisations involved were founded by the government (see Annex F). While this was probably politically necessary – truly

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<sup>20</sup> LGSP Quarterly Progress Report Q2 2013 p11

<sup>21</sup> ATLAS report entry 5 Oct 2012 activity 5

representative participation in Uzbekistan is unlikely given the context and history – it reduces the likelihood of a broadly accepted strategy resulting from the process.

There remains a long way to go in Uzbekistan for truly independent civil society organisations to participate freely in partnership with government, and this has to be acknowledged in project design and reporting.

The promised delivery of the draft strategies by the end of the year will give this activity a boost in credibility. It is to be hoped that good strategies will be able to attract greater engagement from civil society and the private sector to support and monitor implementation during the second phase of LGSP.

There are opportunities in the second phase to support non-governmental partners to build capacities in monitoring local government budgets, policies and promises.

#### **4.6 Activity Result 6: Introducing public private partnership**

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Extracts from Revised Project Document, January 2011:

*Activity 6: Public Private Partnership: Introducing modern and innovative approaches to recreation resource management in Namangan and Jizzakh regions*

*Action 6.1: Comparative analysis of public-private partnerships (PPP) in other countries*

*Action 6.2: Public-private partnership mechanism established and tested in the pilot regions.*

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##### **Results achieved**

This project activity focused on developing conditions for community based and rural tourism in the Zaamin district of Jizzakh province. This area is reportedly suitable for rural tourism because of its location near a national park and area of outstanding natural beauty, as well as the location of a Trade Union Federation-owned sanatorium. Zaamin is also located within reach of the major international tourist destination of Samarkand city.

The LGSP made a substantial contribution to the development of rural tourism in Zaamin. This was achieved through small investments such as:

- the development of a brand identity, website and other materials (e.g. see [www.zaamin.uz](http://www.zaamin.uz))
- training for 20 people (85% women), including guest house owners and their families, local government officials and tourist guides in “tourist reception and accommodation, applicable hygienic and sanitary standards, entertainment organization, and guest house marketing and management”<sup>22</sup>
- installation of 20 road signs alongside key touristic routes and 10 information plates in Zaamin for attraction of tourists.
- Upgrading accommodation facilities of 5 guest houses (2 managed by women).
- Transfer of 3 souvenir yurts to most active villagers of Zaamin to organise retail trade of local handicrafts and souvenirs during the tourist season.

In addition there was representation of Zaamin at round tables and tourist fairs to promote the tourist potential of the area.

The investments and training were identified in a Community Based Tourism sector assessment conducted by the project in the first year of operation. A Marketing strategy for the development of tourist zone of Zaamin was also developed.

During the project period, the government constructed a new road to Zaamin, greatly facilitating access and demonstrating government commitment to the area’s development.

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<sup>22</sup> LGSP Project progress report entry dated 2012-06-30-06:48:18

The Federation of Trade Unions, owners of the sanatorium, also invested 12 million Soums in a drag (ski) lift to help extend the tourist season into the winter.

Interviewees reported that in 2012 that some 300 to 500 tourists visited the area, an increase on previous years, and this increase was attributed by one interviewee to the new Zaamin website.

A Memorandum of Understanding was in preparation between UNDP and Uzbektourism National Company.

This evaluation did not include a visit to Zaamin, so the assessment relies on interviews and documentation.

It appears from project documentation that little progress was made for a similar initiative in the Chartak (Chartaq) area of Namangan. Some preliminary work was done, but the reports do not indicate why this was not followed through.

### Assessment of effectiveness

The investments made in community tourism in appear to have improved the conditions in the area for tourism, and we need to see in the medium term whether this will lead to an increase in tourist numbers and incomes for the rural poor in the area.

However, this activity was intended to achieve results related to public-private partnership, and it is hard to see from the activities conducted how they might lead to promotion of PPPs. The interventions were carried out by UNDP directly, or in partnership with the local government, the owners of the sanatorium and the Uzbek national tourist organisation. Interventions aimed to promote small-scale private business, but there was no apparent attempt to promote working or contractual partnerships between government and the private sector.

The project document identifies some of the main barriers to PPP in Uzbekistan: “a range of gaps impeding PPP development in the country still exists. Major gaps include: the reciprocal mistrust and lack of understanding of each other’s interests and needs; the absence of locally available information and experience with arranging sustainable partnerships; and the underlying legal and institutional obstacles to forming effective and sustainable public private relationships.”<sup>23</sup> The activities designed for this component did not aim to tackle these underlying problems, and it is not clear whether any have been addressed during the period of project implementation. Uzbekistan ranks 146 out of 189 countries and territories in the World Bank’s ‘Doing Business’ rankings for 2014<sup>24</sup>. Some aspects of

#### **Private-Public Partnership in Uzbekistan (extract from Welfare Improvement Strategy 2008-2010 p103)**

*Private-public partnership (PPP) is a form of partnership between the public and private sector in which the government grants the private sector the rights to build, finance, and manage infrastructural and social facilities as well as to provide these services under specific conditions. PPP envisages the sharing of costs, earnings, obligations and risks related to the implementation of such projects between the authorities and the private enterprises. Moreover, the government specifies the areas of public and infrastructural services with the aim of conducting an appropriate industrial policy based on national interests and the interests of the socially vulnerable sections of the population. It is notable that the government retains the right of control and regulation of the issues of pricing, quality of service, safety and the environment. PPP is an important instrument for implementing the WIS as it creates additional opportunities for investing private capital that will increase employment, the population’s incomes and the expansion of a class of property owners.*

<sup>23</sup> Revised LGSP Project Document 22/2/2011 p 19

<sup>24</sup> <http://www.doingbusiness.org/data/exploreeconomies/uzbekistan/> accessed 26/11/2013

business, such as enforcing contracts (40<sup>th</sup>) and starting a business (21<sup>st</sup>) are reasonably positive, while others like protecting investors (138<sup>th</sup>) and trading across borders (189<sup>th</sup>) are dismal. Taking perceptions of corruption into account adds to the challenges faced in developing PPP<sup>25</sup>.

For Public Private Partnership to work well, there some basic institutional functions need to be in place. These include fair and transparent public procurement, an independent judicial system to rule efficiently and fairly on contractual disputes, and transparency in cases where politicians have interests in private companies. Based on the above quoted indices, the situation in Uzbekistan is not good enough, although it is improving.

Therefore, the concentration of the project on community-based tourism instead of PPP is a reasonable shift of approach, given the considerable constraints. The project demonstrated what the public sector could do to encourage private enterprise by boosting conditions for business in a carefully considered and targeted way. This project cannot be replicated everywhere, but since Uzbekistan has a small but significant tourist industry, the LGSP has created a model for future investments in rural tourism where there is potential. The production of a manual for community-based tourism, based on the Zaamin experience will support further replication.

#### **4.7 Sustainability:**

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*From Terms of Reference: Extent to which the benefits of the project will continue, within or outside the project domain, after it has come to an end. Relevant factors include for example: development of a sustainability strategy, establishment of financial and economic instruments and mechanisms, mainstreaming project objectives into the local economy, etc.*

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Overall, the project impact can be judged to be highly sustainable.

Progress made in preparing the political environment for some degree of decentralisation is moving ahead. This is demonstrated by government acceptance of the recommendations on fiscal decentralisation, and by official statements made through, for example, the new Welfare Improvement Strategy 2013-2015.

The implementation of e-Hujjat is in line with central government strategy on e-government, and is built using highly adaptable and flexible open source technology.

The One Stop Shops are on the path to being recognised by law, and therefore entitled to contributions from local government budgets. Their success will depend on the relevance, accessibility and usefulness of their services, as measured by the average number of daily transactions.

The Information Centres are fully recognised by their local governments, and sustainability is assured, as long as they provide a useful role. A challenge will be to encourage more two-way communication with citizens, and at the same time maintain local government support.

Civil Service training has a strong champion in the Academy of Public Administration. This will, provided resources are available, most likely continue with the development of the e-learning portal.

Without sight of the Regional Development Strategies, it is hard to judge the extent to which they will become living documents, used for planning and development purposes. It will be essential that the second phase of the LGSP supports the implementation of the Namangan and Jizzakh strategies for the coming 3-4 years.

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<sup>25</sup> According to the Transparency International Corruption Perceptions Index for 2012, Uzbekistan ranks 170 out of 174 countries <http://cpi.transparency.org/cpi2012/results/> accessed 26/11/2013

This evaluation did not have sufficient information to judge the sustainability of the rural community tourism actions in Zaamin.

## 5 Implementation

### 5.1 Overall Assessment

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*Questions from the Terms of Reference: “The evaluation will assess the implementation of the project in terms of quality and timeliness of inputs, efficiency and effectiveness of activities carried out. Effectiveness of management, the quality and timeliness of monitoring and backstopping by all parties to the project should also be evaluated. In particular, the evaluation is to assess the Project team’s use of adaptive management in project implementation.”*

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The LGSP project overall completed the majority of activities planned. Considerable work was accomplished primarily under **Activity 3**, Facilitating access to public information and services. Here, the implementation of the e-Hujjat system in 27 local government bodies, six information centres, and two one-stop-shops were all delivered on time and within budget.

The focus on activity 3 may have led to some slippage in other activities. The notable implementation issue is the execution of the Regional Development Strategies under **Activity 5**. These strategies were designed as part of a process of strengthening civil society and demonstrating mechanisms of cooperation between local government and its stakeholders. The project had not, at the time of the evaluation in October/November 2013, completed the strategies; therefore it could not use the strategies to establish institutionalised mechanisms for government – civil society cooperation as envisaged. There was insufficient implementation of capacity building measures for civil society, compared to those planned. Other components of the project also could not be designed in response to priorities identified in the strategies – e.g. the Activity 6, Public Private Partnership and Activity 4, Strengthening Capacities of Civil Servants, could have been developed in response to priorities identified in the strategies and in response to the monitoring and implementation requirements. Delivering strategies only at the end of the programme runs the risk that there is insufficient support or commitment to implementation.

Other activities were completed more or less as planned, given the operational constraints and changes in context.

The project was also able to take advantage of some key **opportunities** presented during the course of implementation. One significant opportunity was the additional funding from the UNDP Democratic Governance Thematic Trust Fund for the One Stop Shops. Another example is the opportunity created by the re-formation of the Academy for Public Administration and the enhanced cooperation it offered.

The project operated under the **National Implementation Modality**, with the implementing partner being the Cabinet of Ministers. The project team was mainly composed of individuals employed under a consultancy contract, rather than government staff. The project operated at a site away from both the office of the Cabinet of Ministers and the UNDP country office. While it was able to operate efficiently as an autonomous unit, it could not be described as implementation by government. The impression given by the team’s business cards (perhaps a superficial indicator!) is that the team was operating as a project of UNDP. Given these circumstances, it is hard to argue that the expected capacity building effects of operating through NIM would be realised by the government.

## 5.2 Project's Adaptive Management Framework:

### Monitoring Systems

The project reports seen by the evaluation present a picture of the activities accomplished by the project. Not all project reports were available to the evaluator, consequently the record of the project process presented by the reports seen appeared patchy. Reports described actions taken against targets set, and by activity. Where the project record is less good is in accounting for actions planned but not taken, actions started but not completed, and in giving reasons for changes to planned activities.

Although the project ran for four years, there was no mid-term evaluation or monitoring exercise. Only some annual reports and quarterly reports were made available for the evaluation (a full list of reports available for the evaluation is given in Annex B). Reports were produced for the separate additional USD 200,000 funding from the DGTTF during the implementation period 2011-2012.

The original Results and Resources Framework (RRF) from 2010 was updated in 2011 primarily to include the additional resources from the DGTTF. No other changes were made to the RRF since 2011, despite changes to project implementation, primarily Activity 6, Public-Private Partnership. (The changes were approved by the project board).

Many of the indicators identified in the project document were – as is typical for governance and capacity building projects – hard to monitor and evaluate or not relevant to the activities planned. E.g. for Activity Result 1 “High level policy dialogue and reform of public administration for ensuring an effective, strategic and practical approach to pro-poor service delivery promoted” indicators include “Number of main partners and their contribution to the reform process”. From the evaluator’s point of view there needs to be an explicit explanation of why the *number* of partners is relevant to reform of public administration (and, indeed, whose partners?). And what is meant by their ‘contribution’ to the reform process, and how can it be assessed? These are not intended to be criticisms of the project itself, but are, rather, well recognised problems with the logical framework approach and its relevance and validity for complex capacity development programmes. The concern is that time is wasted attempting to comply with irrelevant statistics and report against meaningless indicators, while not enough time is spent examining the project’s actual contribution to its intended impact. In the case of the LGSP, there was not a disproportionate amount of time spent on reporting against indicators, but there could have been more qualitative and analytical reporting providing a balanced assessment of achievement. One possible option would have been to have commissioned a mid-term evaluation or review to assess the extent to which the planned activities were successfully working towards the intended outcomes.

Good data was picked up in four areas of the project – the E-Hujjat system implementation, One-Stop-Shops, Information Centres, and the rural tourism intervention. These data were compiled into informative wall charts that gave a snapshot of these activities in numbers and graphics.

### Disaggregation of Project Data

The amount of data produced by the project was limited by its qualitative nature. Where data was collected, reasonable disaggregated data was provided. Primarily, this was linked to training and other events in which the number of women participants was identified. Overall, the project appears to have succeeded in including a larger proportion of women into its training events than represented in the prevailing populations in the civil service. There was no other systematic monitoring that presented gender disaggregated data. Some information could have been helpful, such as gender disaggregated data on the civil



servants who have been issued with a digital signature – this might give a better indication of the proportion of women who have decision-making powers in local government.

### 5.3 Risk Management

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*Terms of Reference Question: Validate whether the risks identified in the project document and the ATLAS Risk Management module are the most important and whether the risk ratings applied are appropriate. Describe any additional risks identified and suggest risk ratings and possible risk management strategies to be adopted for the future activities.*

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Three key strategic risks were identified in the project document:

- Low level of commitment from partners due to insufficient understanding of the envisaged reforms at regional and local levels
- Weak capacity of the civil society and the private sector may prevent a meaningful dialog from taking place
- Resource mobilization does not produce sufficient funds to support the government priorities

Additional risks were added through the ATLAS Risk Reporting module up to 19 April 2011. Reporting against these risks was concise and appropriate in most cases.

Other risks, such as political change and exchange rates might also have been mentioned.

### 5.4 Reporting

Overall, project reporting provided a clear and concise picture of the activities that were carried out by the project. This reflected the findings in the field during the evaluation, and there appeared to be no discrepancies between activities reported, and activities actually carried out.

There were two areas in which project reporting could be improved (from the perspective of an evaluator at least).

First is that there were a number of activities planned that either did not happen as intended, or were not completed. These loose ends were not adequately accounted for in the paper trail of reports. One example is activity 2, the review of the “institutional and legal framework for streamlining the work and relationships between and within executive and legislative authorities at national level”. This activity as set out in the project document was highly ambitious. The functional review and capacity assessment actually carried out was rather different that intended, and much more limited in scope. It focused on the opportunities for improving efficiencies and service quality at local level. Instead of leading to the fundamental reform and decentralisation aspired to in the project document, it led instead to some solid work done to improve the efficiency of local government activities. This change was a significant change to the project approach, but was not adequately explained in the project reporting.

The second is that reports need to be more strategic and analytical. The focus on activities is useful for management of the project. However, for a wider audience, including evaluations and for planning subsequent phases, there needs to be reference to more contextual factors relevant to the project, how they affect project implementation, and how the project has responded to those factors. This would give some much needed explanation for the point above, regarding reporting against changed activities. An example here is the work under Activity 6 on Public Private Partnership. The work actually carried out focused on rural community based tourism, and bore little relationship to the planned PPP activity. Here the project document refers to some considerable challenges to promotion of PPP in the Uzbekistan context. However, the reporting does not bring in

these contextual issues to explain why the planned work on PPP was not possible, and there are only some clues available in the other documentation, such as project board minutes.

## 5.5 Underlying Factors

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*Terms of Reference Question: Assess the underlying factors beyond the project's immediate control that influence outcomes and results. Consider the appropriateness and effectiveness of the project's management strategies for these factors.*

*Assess the effect of any incorrect assumptions made by the project.*

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This evaluation identified three main areas in which underlying factors beyond the project's control influenced outcomes and results; there may well have been others. One was positive, and the others negative.

On the positive side, Government internally shifted its views and approach on policies that were key elements of the project, including e-Governance, civil service reform and decentralisation. This meant that while the early stages of the project were difficult, by the last two years the government was more receptive and supportive of project activities and aims. In part this is due to the influence of the project itself (and therefore strictly not outside project control), but these shifts were also more profound and due to many other influences. The added momentum enabled the project to capitalise on a new relationship with the Academy for Public Administration, and on opportunities for reform such as fiscal decentralisation.

A second factor, with negative consequences, was the assumption implicit in the project document that while there were major difficulties in mobilising Public Private Partnerships, it would still be possible to achieve some results in the area. This assumption proved to be incorrect, and early studies revealed that PPP would be much more challenging than expected. The project therefore made a sensible decision to move away from a focus on PPP, and to rural tourism, for which there was also support from the project board.

Third, there was an implicit assumption that involving civil society in the regional development strategy process would assist in creating more "accountability and inclusiveness". This would most likely be the case in an open society with free association of civil society organisations. The current situation for civil society in Uzbekistan, while improving, is still restrictive. The partners for the Activity 5, Civil Society Partnership, were chosen by the Khokimiyats rather than self-selected, and were mainly organisations with government links (see Annex F). In the absence of a truly independent civil society with the ability to voice alternative views, the extent to which local government partnership with civil society would lead to greater accountability and inclusiveness is very limited. The situation of civil society is outside the control of the project, and there was no real ability of the project to select independent civil society organisations, without jeopardising its good relationship with government. Hence, the contribution of the work with civil society to the project goals was very limited. This evaluation recognises the challenges working with civil society in Uzbekistan. The recommendation can only be for UNDP to find additional means to work with independent civil society organisations. What these means might be are outside the scope of this evaluation, and so the recommendation is unfortunately vague.

## 5.6 UNDP Contribution

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*Related Terms of Reference Questions:*

- Assess the UNDP contribution to the project “soft” assistance (policy advice & dialogue, advocacy, coordination).
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Not sufficient information

## 5.7 Partnership Strategy

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*Related Terms of Reference Questions:*

- *Assess how partners are involved in the project’s adaptive management framework: (i) Involving partners and stakeholders in the selection of indicators and other measures of performance; (ii) Using already existing data and statistics; and (iii) Analyzing progress towards results and determining project strategies.*
  - *Identify opportunities for stronger substantive partnerships in the future.*
  - *Assess how local stakeholders participate in project management and decision-making. Include analysis of strengths and weaknesses of the approach adopted by the project and suggestions for improvement.*
  - *Assessment of collaboration between governments, intergovernmental and non-governmental organizations.*
  - *Assessment of collaboration between implementation units of other related projects.*
  - *Assessment of local partnerships.*
  - *Transfer of capacity to the national institutions.*
- 

The key formal instrument for involving partners was the **Project Board**. These meetings comprised representatives from UNDP, the Cabinet of Ministers (chairs), the LGSP project, Namangan and Jizzakh region and city Khokimiyats, UNICEF, and the Academy of Public Administration, *inter alia*. These meetings took place three times during the project implementation: December 2010, July 2011 and December 2012. The project board was the forum for consulting national and local government about key project components, and in making decisions about changes to project activities. The December 2010 meeting approved changes to the project document, leading to the signing of the revised document. The July 2011 meeting explored the legal status of One Stop Shops and urged progress in implementation of the Information Centres. And the December 2012 meeting dwelled on the sustainability of One Stop Shops. This was an opportunity to raise local issues that needed national level solutions. Given the progress in the legal status of OSSs, it has been successful.

The Project Board format appears to have been successful in several ways. It created a degree of national and local government ownership over the project by involving them in project decisions; it operated as a forum to raise and resolve government policy issues that were affecting local governments and project implementation. And it became a forum in which more general issues could be discussed. The project board appears to have been a key factor in the government pushing for a second phase of the project.

A second key forum for the involvement of partners was the **Inter-Agency Coordinating Working Group**, consisting of 13 members from the Cabinet of Ministers and ministries and established in September 2011 by a decision of the Prime Minister. The working group received findings and recommendations from the LGSP project for the consideration of government. It was the main route through which the LGSP succeeded in influencing government policy, and was its main entry point to government. Examples include the legislation on One Stop Shops, and recommendations for greater fiscal decentralisation.

The project document said that “UNDP will also partner with **UNICEF** in promoting Good Governance for Achieving Children’s and Women’s Rights and other bilateral donors.” UNICEF was initially involved in the LGSP project. The agency had intended to create child friendly spaces in the One Stop Shops to enable parents to conduct transactions while their children were occupied. In the end, the funding for UNICEF’s contribution to the project was lost for bureaucratic reasons and a shift of UNICEF priorities away from OSSs, according to interviews with LGSP project personnel. UNICEF was not interviewed as a part of this evaluation.

An unexpectedly successful partnership was created with the **Academy of Public Administration**. The reformation of this institution, as noted elsewhere in this report, was critical in creating a strong and lively partnership in which there was a strong mutual benefit. From the UNDP LGSP side, the Academy offered an official hub for research and teaching, and a focus for discussions within government circles. The Academy sees UNDP as an agency that can enable access to international resources, including expertise, journals and books, and is a mobilising force for change in the civil service. The e-learning portal was a significant initiative emerging from this partnership, and will be, if further developed, an essential driver of civil service reform.

Partnership with **local government** was facilitated by the location of project offices in the two pilot areas. The full-time presence of project personnel supported the development of stronger relationships, and enabled more effective implementation of project activities.

The **future partnership** strategy should build on those already established. In particular, the inter-agency working group and the Academy of Public Administration are key strategic partners for future reform of civil service and moving forward with decentralisation. Establishment of project offices located in or close to partner local government institutions needs to be seen as a key part of the implementation strategy. Stronger partnerships could be forged with other UNDP (and UN) projects working at local level, in particular those working with civil society and government reform (e.g. budget reform).

In terms of **transfer of capacity to national institutions**, the project mainly focused on capacity building via training and implementation of electronic systems. There was limited transfer to national institutions, even though the project is nominally under the National Implementation Modality. The project team composition of consultants on UNDP contracts means that the main learning from the project implementation experience will not be transferred to central government institutions. Nevertheless, the close relationship between the project’s field offices and the regional and city Khokimiyats where they are located means that capacity transfer at local level is likely to have been stronger.

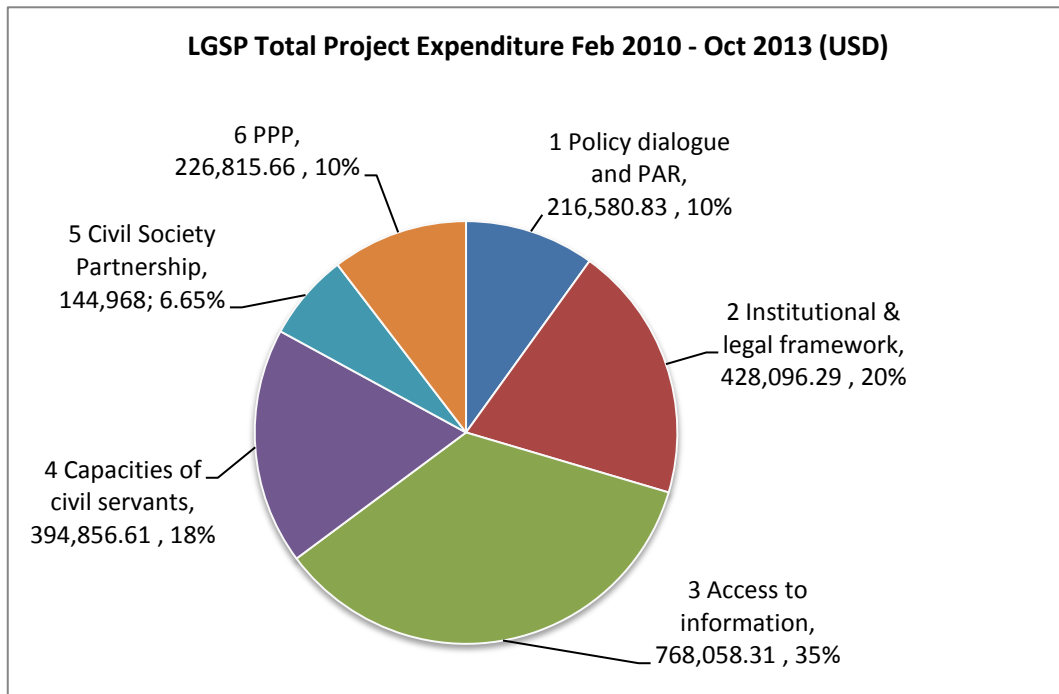
## 5.8 Project Finance:

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### *Related Terms of Reference Questions:*

- Assess financial management of the project, with specific reference to the cost-effectiveness of interventions.
  - Assess the cost-effectiveness of the project interventions.
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This evaluation did not collect sufficient information to assess systematically the cost-effectiveness of interventions. This would have required looking at specific country costs, and making comparisons with similar projects both in Uzbekistan and elsewhere, adjusting for purchasing power and other factors.



The remarks made here regarding financial management of the project are based on judgements from the financial reports received, together with interviews and observations from project documentation. Annex G contains a table summarising the project expenditure.

By 7 November 2013, nearly two months before the end of the project, total project expenditure was USD 2,179,376, representing an underspend against budget of around USD 200,000 (8.4%).<sup>26</sup>

Activity 3 consumed more than one third of the total project costs. This is reasonable considering that the activity included a significant proportion of total project work and purchase of equipment: the One Stop Shops, e-Hujjat and Information Centres. The additional USD 200,000 from the Democratic Governance Thematic Trust Fund was also allocated to this activity, for the Local Government Information Centres.

Activity 5, Civil Society Partnership, was the lowest spending component, reflecting the disappointingly low levels of activity for civil society capacity building and the late implementation of the Regional Development Strategies.

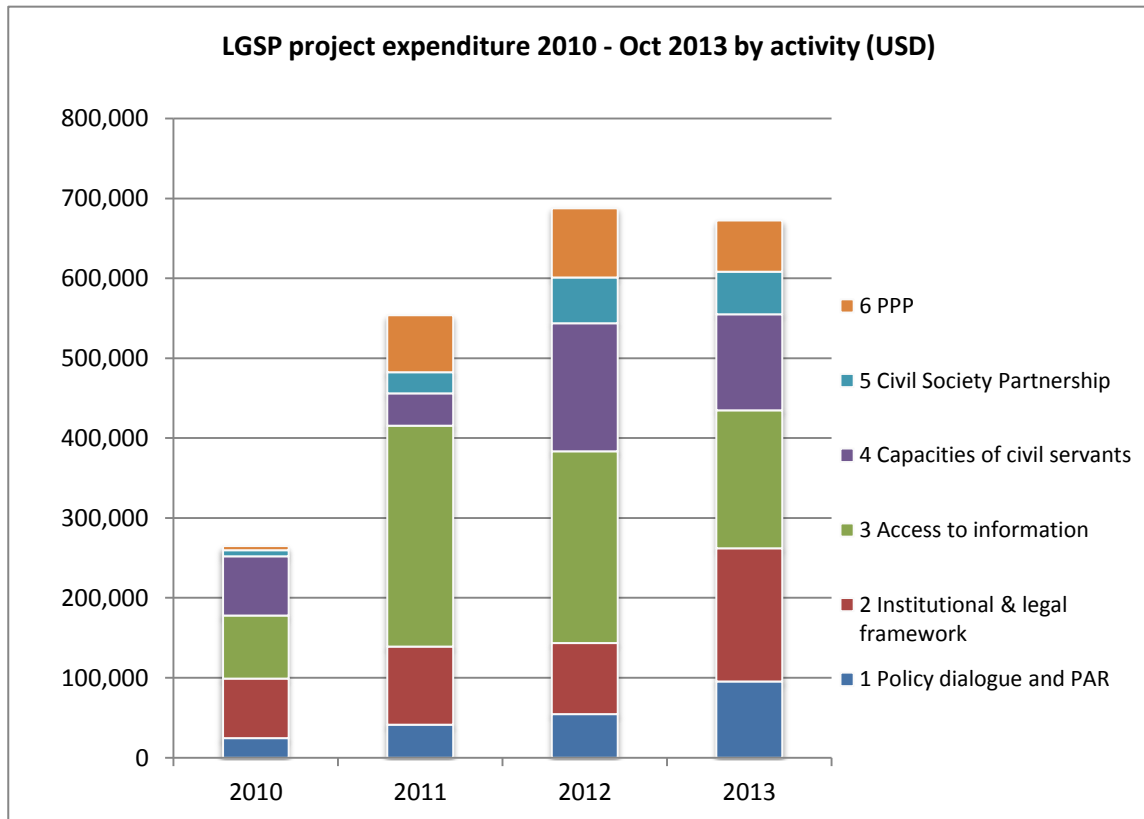
As expected in a project of this nature, spending in the first year was relatively low. This is partly as a consequence of the slow start up of the project field offices, recruitment of the team, and the nature of activities in the first year being focused on establishing the groundwork for later activities.

A key point to note is that many of the trainings for civil servants under Activity 4 were actually connected to the implementation of Activity 3; including training for use of the e-

<sup>26</sup> By the end of November, actual expenditure had increased to USD 2.3 million, representing an underspend of 3%

Hujjat system, training in public relations for the Information Centre staff, and training of personnel in the One Stop Shops.

Therefore the costs of implementation of the main components under Activity 3 were arguably greater than shown in the project financial reports, and the expenditure on capacity building of civil servants intended under Activity 4 was lower than the financial reports suggest.



There were also no major variances against budget. Activity 5, Civil Society Partnership had the largest variance against budget of 19% under-spent. Some of this will be spent towards the end of 2013 as the Regional Development Plans are finalised.

Overall, the costs of the project appear to be reasonable given the extent of the results delivered.

## 6 Recommendations

### For UNDP in general

1. UNDP should consider continuation of the project into a second phase, as requested by the Government of Uzbekistan. The second phase should seek to build upon the achievements of the first phase, and especially the trust and confidence established by the project. This trust and confidence was most likely a product of the concrete deliverables achieved by the first phase (e.g. the e-Hujjat implementation), and so the second phase should ensure that it also contains some solid tangible deliverables. However, the second phase should not be pulled too far in that direction, and should ensure that it stays on track to promote steps towards decentralisation and more effective and inclusive local government, not just more efficient local government.
2. UNDP should be cautious about accepting or funding additional tasks requested by government when they are outside UNDP's core mandate. While there is some ambiguity facing a National Implementation Modality project, there has to be a clear line to define what the project can and cannot do. In the case of the government request for the project to assist in the development of a unified billing system for Tashkent city utilities, there needs to be some careful consideration of the costs and benefits of taking on this task.
3. UNDP should seek to identify funds to extend the second phase of the project into new regions of the country, with a focus on the poorer, more marginalised areas. The Government has already identified Tashkent region as a location for expansion of the project. However, if additional resources are identified, the project should seek government approval for one or two additional regions, rather than investing in more reform in the pilot areas from the first phase.
4. The situation of women in the civil service is poor, and needs significant attention to ensure that it improves. UNDP – perhaps in conjunction with other UN agencies and non-UN partners – should identify a medium to long term action plan that will support government to encourage women to join the civil service, stay in the civil service, and crucially, be promoted within the civil service at national and local levels. Action is needed to adjust both the legal framework, the conditions in the workplace, and the behaviours and attitudes of all staff and managers.
5. Reform in both local government and civil service is hampered by the absence of clear ministerial responsibility. UNDP could usefully mobilise support from its partners in the international community and jointly work to encourage the government to identify ministerial positions or similar arrangements for these key reforms.

### For a second phase of the Local Governance Support Project

6. The primary focus of a second phase of the LGSP should be to continue to build commitment and readiness for greater decentralisation within central and local government. Effective mechanisms for this have proven so far to be solid research into the challenges and issues arising from the current structures and arrangements; offering examples for consideration from other relevant countries; and promotion of focused discussion within small group forums, such as the Inter-Agency Working Group.
7. The ability of a local government reform project in the context of Uzbekistan to work with genuine civil society organisations seems limited. UNDP should seek to find ways to engage independent civil society organisations in dialogue with local government and enable them to strengthen their accountability function.

8. The project should again attempt to conduct a functional review to expose inefficiencies within the current structure of local government. This should offer a strong argument for clarifying responsibilities through a law on local government and for establishing ministerial responsibility for local government reform. The functional review should consider focusing only on a limited number of government sectors, but explore the extent of responsibility from central government down to the level of the Mahalla. The review should also provide concrete and realistic recommendations for change, and examples of where such change has taken place successfully in other comparable countries. See Annex D for a useful typology of government functions and some basic principles on organisation of functions. A prior feasibility study would be needed to formulate a realistic scope and methodology.
9. In the existing pilot areas of Jizzakh and Namangan, the second phase of the project should concentrate on supporting the implementation of the regional development strategies. These strategies can provide a focus for building partnerships for joint implementation of measures identified, and strengthening the engagement of civil society organisations both through partnerships for implementation, and through budgeting and monitoring activities. Ideally, the second phase of the project should allocate funds for financial support for implementation of elements of the strategy – perhaps by competitive application from interested stakeholders<sup>27</sup>. One option is not to specifically identify work on rural tourism in the second phase, but to allocate the funds to support projects identified in the Regional Development Strategies.
10. The existing Information Centres in Jizzakh and Namangan need to be encouraged to move towards a two-way communication model with citizens. Support should be given to the skills, techniques and tools necessary to hold consultation sessions with the public, conduct of public opinion research (e.g. through the website or in paper form at One Stop Shops), and presentation of more than one view on local issues, (e.g. in the form of a public debate). If new Information Centres are to be supported in Tashkent Region and other possible locations, then from the outset they should be strongly encouraged to adopt two-way communication models as the standard means of operating.
11. In both the existing pilot regions and in new regions the project should work with the Kengash (local assemblies) to strengthen its functioning in key areas. Two possible areas might be scrutiny of proposed local legislation and budget oversight. As a suggestion, support with a research assistant, office facilities and access to internet and e-Hujjat might help, plus training and seminars with experts in parliamentary issues. However, these would need to be investigated and confirmed (or alternatives identified) through proper needs assessment in the inception stage of the new project.
12. The project should support further development of the e-Learning portal with the Academy for Public Administration. However, the topics of new e-learning courses should be more closely linked to promotion of decentralisation and the overall objectives of the project. This might mean building skills in evidence-based decision and policy making, budget management, understanding the principles of taxation, human resource management, project management and managing teams, etc. There may also be opportunities to partner with local academic institutions in the project regions to support e-learning with face-to-face tutorials and student group discussions. The project can play a useful role in facilitating closer working relationship between the Academy and local colleges.

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<sup>27</sup> The UNDP Citizens Involvement Fund developed by UNDP under the PRO project in Serbia is an example of such a fund. It was designed to provide small amounts of funding (up to EUR 5,000) for projects which are implemented in partnership between civil society organisations and local government institutions.



13. By the time of the evaluation, the demand for the One Stop Shops was increasing but was still relatively low. The second phase of the LGSP needs to track usage of the OSSs closely to ensure that there is an increase in demand for services. If demand does not increase, there needs to be a review of the services to understand why this is the case, and to reformulate the services provided, if necessary.
14. The successes achieved so far with recommendations on fiscal decentralisation can be used to move forward with other aspects of financial management reform at local level. This could include improved budget management with a focus on planning, performance, financial reporting, transparency and accountability, following the requirements of the Law on Access to Information.

## Annex A Terms of Reference



### UNITED NATIONS DEVELOPMENT PROGRAMME JOB DESCRIPTION

<b>I. Position Information</b>	
Position Title:	International Consultant for LGSP project evaluation and formulation of the next phase
Type:	IC contract;
Project Title/Department:	“Local Governance Support Project: Participation and Partnership”
Location:	Home based and one field trip to Uzbekistan
Duration of the service:	27 days during September /November 2013
Reports To:	Head of Good Governance Unit, UNDP Uzbekistan CO

<b>II. Background</b>
<p>UNDP Uzbekistan within the UN Development Assistance Framework (UNDAF) for Uzbekistan started to implement project "Local Governance Support: Participation and Partnership" (LGSP) in 2010. The Project has been working with two pilot regions – Djizak and Namangan, since March 2010 and is planned to continue till December 2013. It is focused on enhancing local governance capacities of the regional, city and district khokimiyats by advocating the mechanisms, which enable improvement of public institutions' capacities, accountability and responsiveness, with the participation of civil society at the local level, thus resulting in improvement of the livelihood of the low-income households and the disadvantaged, increased resources and consolidated democratic governance processes at all levels. This will be achieved through: enabling favorable environment by preparation of a series of analytical papers, enhancing the public administration system through improvement of legislative base, enhancing the capacity of civil servants, preparing territorial development strategies, introducing participatory governance work and e-governance tools, and introducing new approaches to managing recreational resources in pilot regions of country. LGSP is implementing six major activities:</p> <ol style="list-style-type: none"> <li>1) Promotion of policy dialogue on local governance support</li> <li>2) Support of Institutional and legal framework for local governance system</li> <li>3) Facilitating access to public information and services</li> <li>4) Strengthening capacities of civil servants</li> <li>5) Facilitating partnership among local governments, civil society and private business on regional development strategy planning and implementation</li> <li>6) Introducing public private partnership in community-based tourism</li> </ol>

The following results were replicated and scaled-up along with having policy level impact:

- Local Government Information Centers
- One-Stop-Shops for public services delivery
- Community-based tourism development
- Upgraded electronic document management system "E-Hujjat"
- Distance Learning Portal for civil servants at max.dba.uz
- Analytical tools for designing City development strategies
- Policy recommendations on investments promotion and fiscal decentralization,

Based on results of LGSP, Government has officially informed to extend the project till 2017.

The details of the project activities are available on the project website [www.lgsp.uz](http://www.lgsp.uz) and <http://www.undp.uz/en/projects/project.php?id=161> as well as in social media: <https://ru-ru.facebook.com/lgspuzbekistan>

### **III. Objectives of the Evaluation / Evaluation requirements and methodology/Next phase formulation**

This Final Evaluation and the next phase formulation is initiated by the UNDP Uzbekistan and aims to assess the relevance, performance, management arrangements and success of the project and provide recommendations for possible follow-up. It should provide the basis for learning and accountability for managers and stakeholders. The evaluation will have to provide to UNDP complete and convincing evidence to support its findings/ratings. Particular emphasis should be put on the project results, the lessons learned from the project and recommendations for the follow-up activities, including formulation of major components for the next phase.

This evaluation is to be undertaken in line with the evaluation policy of UNDP ([http://www.undp.org/content/undp/en/home/operations/accountability/evaluation/evaluation\\_policyofundp](http://www.undp.org/content/undp/en/home/operations/accountability/evaluation/evaluation_policyofundp)) and the UNDP Handbook on Monitoring and Evaluating for Results (<http://web.undp.org/evaluation/handbook/index.html>).

The assignment will take place within September/November 2013. It will involve desk work and one mission to Uzbekistan. The consultant will work in close collaboration with UNDP Uzbekistan CO and relevant stakeholders.

#### ***EVALUATION OBJECTIVES:***

The evaluation is intended to provide a comprehensive overall assessment of the project and to provide recommendations for exit strategy and/or follow-up activities.

#### **The purpose of the Final Evaluation is:**

- To assess overall performance against the Project objective and targets as set out in Project Document.
- To assess the effectiveness and efficiency of the Project.
- To analyze critically the implementation and management arrangements of the Project.
- To assess the sustainability of the project's interventions.
- To list and document lessons concerning Project design, implementation and management.
- To assess Project relevance to national priorities.

- To assess changes in the baseline situation and provide guidance for the future activities in the area of promoting the Public Administration Reform.

Project performance will be measured based on Project's Results and Resources Framework, which provides clear indicators for project implementation. The Report of the Final Evaluation will be stand-alone document that substantiates its recommendations and conclusions.

#### EVALUATION:

Under the direct supervision of the Head of Good Governance Unit, the International Consultant for evaluation of LGSP project and the next phase formulation will be responsible for the completion of the following tasks and duties:

Project concept and design: The evaluator will assess the project concept and design. He/she should review and provide an evaluation of the project strategy, planned outputs, activities and inputs, implementation modality, clarity and effectiveness of management arrangements and cost-effectiveness of approaches taken in relation to the overall project objectives. The evaluator will assess the achievement of results and targets against the project work plans.

Implementation: The evaluation will assess the implementation of the project in terms of quality and timeliness of inputs, efficiency and effectiveness of activities carried out. Effectiveness of management, the quality and timeliness of monitoring and backstopping by all parties to the project should also be evaluated. In particular, the evaluation is to assess the Project team's use of adaptive management in project implementation.

Project outputs, outcomes: The evaluation will assess the outputs in relation to the CP outcomes, achieved by the project as well as the likely sustainability of project results. This should encompass an assessment of the achievement of the immediate objectives and the contribution to attaining the overall objective of the project. The evaluation should also assess the extent to which the implementation of the project has been inclusive of relevant stakeholders and to which it has been able to create collaboration between different partners. The evaluation will also examine if the project has had significant unexpected effects, whether of beneficial or detrimental character.

The Final Evaluation will also cover the following aspects:

#### Results and effectiveness:

Changes in development conditions. Address the following questions, with a focus on the perception of change among stakeholders:

- What are main outputs of the project?
- Do project results have equal value for women and men beneficiaries?
- Has project contributed to establishment of efficient national institutional frameworks for promotion of public administration reform, e-governance, decentralization and local governance capacity development?.
- Has the project partnership strategy been appropriate and effective?
- Has awareness on public administration reform, e-governance and decentralization in general and among stakeholders been increased?
- Has attention of national and regional governmental stakeholders to public administration reform, e-governance and decentralization issues increased and has it been reflected in concrete actions?

- Has capacity of local governments in pilot regions been increased in terms of: local partnership building; resource mobilization skills; job counseling skills; self advocacy skills?
- Has implementation of public administration reform, e-governance and decentralization initiatives improved?

Measurement of change: Progress towards results should be based on a comparison of indicators before and after the project intervention.

Project strategy: How and why outputs contribute to the achievement of the expected results. Examine their relevance and whether they provide the most effective route towards results.

Sustainability: Extent to which the benefits of the project will continue, within or outside the project domain, after it has come to an end. Relevant factors include for example: development of a sustainability strategy, establishment of financial and economic instruments and mechanisms, mainstreaming project objectives into the local economy, etc.

### **Project's Adaptive Management Framework:**

#### Monitoring Systems

- Assess the monitoring tools currently being used:
- Do they provide the necessary information?
  - Do they involve key partners?
  - Are they efficient?
  - Do they encourage disaggregation of data (by sex, region, age, education)?
  - Are additional tools required?

#### Risk Management

- Validate whether the risks identified in the project document and the ATLAS Risk Management module are the most important and whether the risk ratings applied are appropriate Describe any additional risks identified and suggest risk ratings and possible risk management strategies to be adopted for the future activities.

#### Work Planning

- Assess the use of the logical framework as a management tool during implementation and changes made to it;
- Assess the use of routinely updated workplans;
- Are work planning processes result-based? If not, suggest ways to re-orientate work planning.
- Assess financial management of the project, with specific reference to the cost-effectiveness of interventions.

#### Reporting

- Assess whether UNDP reporting requirements were met.
- Assess whether disaggregated data is being used.

### **Underlying Factors**

- Assess the underlying factors beyond the project's immediate control that influence outcomes and results. Consider the appropriateness and effectiveness of the project's management strategies for these factors.
- Assess the effect of any incorrect assumptions made by the project.

### **UNDP Contribution**

- Assess the UNDP contribution to the project “soft” assistance (policy advice & dialogue, advocacy, coordination).

### **Partnership Strategy**

- Assess how partners are involved in the project’s adaptive management framework: (i) Involving partners and stakeholders in the selection of indicators and other measures of performance; (ii) Using already existing data and statistics; and (iii) Analyzing progress towards results and determining project strategies.
- Identify opportunities for stronger substantive partnerships in the future.
- Assess how local stakeholders participate in project management and decision-making. Include analysis of strengths and weaknesses of the approach adopted by the project and suggestions for improvement.
- Assessment of collaboration between governments, intergovernmental and non-governmental organizations.
- Assessment of collaboration between implementation units of other related projects.
- Assessment of local partnerships.
- Transfer of capacity to the national institutions.

### **Project Finance:**

- Assess the cost-effectiveness of the project interventions.

## **FORMULATION OF THE NEXT PHASE OF LGSP**

The purpose of the formulation of the next phase is to develop consistent and justified recommendations on continuation of the project built on LGSP’s successful results in the areas of public administration, local governance, local development, public services, and e-governance. The documents to be prepared by international consultant during formulation of the next phase of LGSP should comply with UNDP standards on results-based management, and templates used for drafting project document. LGSP team will provide these necessary templates to the International consultant.

Under the direct supervision of the Head of Good Governance Unit, the International Consultant for evaluation of LGSP project and the next phase formulation will be responsible for the completion of the following tasks and duties:

- Analyze major lessons learned from LGSP’s previous activities and conduct country context analysis in order to determine background of the development problems showing the need/demand for the next phase;
- Prepare recommendations for project justification, identifying the main implementing partner, key stakeholders and beneficiaries, overall goals and specific objectives, a list of main activities, duration, and outputs, potential risks and estimated budget;
- Develop recommendations for the draft Results and Resource Framework (RRF) for the proposal on the next phase of LGSP. The template for RRF will be provided by LGSP team;
- Assist LGSP team in facilitation of roundtable in Tashkent related to demonstration of project results and incorporate comments and feedback from participants into evaluation report;
- Advise to UNDP senior management on organization structure for the next phase of the LGSP, including description of roles and responsibilities of project team members;
- Propose monitoring and evaluation mechanism as well as quality management for activity results during the next phase of LGSP.

## ***EVALUATION AND THE NEXT PHASE FORMULATION METHODOLOGY:***

The Final Evaluation and formulation of the next phase will be done through a combination of techniques, including

- Desk review of all relevant documentation (project outputs and other materials);
- Consultations with stakeholders (partners and beneficiaries) and UNDP staff;

- One national project visit (head office in Tashkent city and field visits to Djizak and Namangan regions);
- Validation exercise with UNDP CO and national partners of Project.

Evaluation and formulation of the next phase should involve the wider possible range of stakeholders.

#### IV. Deliverables and timeframe

The duration of the assignment is up to 27 working days in September – November 2013. The final timeframe will be agreed upon in the beginning of consultancy assignment. All deliverables should be submitted to UNDP by the International Consultant in English.

#	<i>Deliverables</i>	<i>Deadlines</i>	
1	Evaluation design and methodology, detailed work plan for evaluation and next phase formulation, agenda of mission trip, a list of questions for interviews with stakeholders and beneficiaries, draft structure of Evaluation report	September 20, 2013	
2	Draft Evaluation report, including Annex on analysis of validation results for preliminary findings with stakeholders, Draft project proposal for the next phase	October 20, 2013	
3	Final evaluation report and final Project proposal for the next phase	November 15, 2013	
<i>Tentative timeframe</i>			<i>Working days</i>
1.	Desk review based on of briefings via e-mail and background information by the project team. (home based)	1 <sup>st</sup> -2 <sup>nd</sup> weeks September	7 days
2.	1 week trip to Uzbekistan and includes a visit of the office in Tashkent and two pilot regions, Djizak and Namangan. Interviews with local stakeholders, questionnaires, focus groups. Participation in LGSP Roundtable related to demonstration of project results	3 <sup>rd</sup> – 4 <sup>th</sup> week of September – 1 <sup>st</sup> week of October	6 days
3.	Validation of preliminary findings with stakeholders through circulation of initial reports for comments (home based)	2 <sup>nd</sup> week of October	3 days
4.	Preparation of draft evaluation report, draft project proposal for the next phase and incorporation of comments (home based)	3 <sup>rd</sup> – 4 <sup>th</sup> weeks of October	6 days
5.	Submission of final evaluation report and final project proposal (home based)	1 <sup>st</sup> -2 <sup>nd</sup> weeks of November	5 days

#### V. Payment Conditions

This is a lump sum that should include costs of consultancy, DSA, visa and travel (economy class) costs required to produce the above deliverables. Payment will be released in three following installments:

1. Upon submission and successful acceptance by Programme Unit of UNDP of the deliverable 1 - 25% of the lump sum
2. Upon submission and successful acceptance by Programme Unit of UNDP of the deliverable 2 - 35% of the lump sum
3. Upon submission and successful acceptance by Programme Unit of UNDP of the deliverable 3 -

40% of the lump sum.

<b>VI. Recruitment Qualifications</b>	
Education:	<ul style="list-style-type: none"> <li>Master Degree in law, public administration, public policy, economics, humanitarian and social sciences and other areas relevant for the assignment is required</li> </ul>
Experience:	<ul style="list-style-type: none"> <li>At least 8 years of practical experience in any of the following areas is required: institutional organization and public sector in complex environments, strategic processes planning, project design, project management, monitoring and evaluation of development projects;</li> <li>Out of 8 years, at least 2 years of experience with results-based management evaluation methodologies, project formulation, participatory monitoring approaches and applying SMART indicators in developing countries is required;</li> <li>Previous experience with public administration reform, e-governance, local governance related project design, implementation and monitoring, preferably in CIS region is an asset;</li> <li>Awareness of gender issues (preferably in the CIS region) and knowledge of gender mainstreaming techniques is an asset;</li> <li>Project design and evaluation experiences within UN system will be considered an asset.</li> </ul>
Language Requirements:	<ul style="list-style-type: none"> <li>Fluency in English is required; knowledge of Russian is an asset but not a requirement</li> </ul>
Others:	<ul style="list-style-type: none"> <li>Strong communication skills, client-orientation, ability to work in a team;</li> <li>Initiative, analytical judgment, ability to work under pressure, ethics and honesty;</li> <li>Understanding of human rights, gender and cultural dimensions.</li> <li>Advanced ability to use IT equipment and software.</li> </ul>

<b>V. Signatures - Post Description Certification</b>		
Incumbent ( <i>if applicable</i> )		
Name	Signature	Date
Programme Coordinator		
Akmal Bazarov/ GGU	Signature	Date
Supervisor/Chief Division/Section: Ms. Aziza Umarova / Head of Good Governance Unit.		
Name / Title	Signature	Date



## Annex B List of People Interviewed and Meetings Held (28 Oct – 2 Nov 2013)

First Name	Last Name	Position	Organisation	Location
Dr. Abdujabar A.	Abduvakhitov	Rector	The Academy of State Governance under the President of the Republic of Uzbekistan	Tashkent
Olim	Akulov	Project Assistant for Jizzakh region, LGSP	UNDP Uzbekistan	Jizzakh
Azizkhon	Bakhadirov	Task Manager on Legal Issues, LGSP Project	UNDP Uzbekistan	Tashkent
Akmal	Bazarov	Programme Coordinator on Public Administration, Good Governance Unit	UNDP Uzbekistan	Tashkent
Jaco	Cilliers	Deputy Resident Representative	UNDP Uzbekistan	Tashkent
Hasanov	Hislat Pulatovic	Deputy Director	Unicon.uz Scientific-engineering and marketing research centre	Tashkent
Jalol	Hodjaev	Specialist on Public Administration, LGSP Project	UNDP Uzbekistan	Tashkent
Thomas	Huet	Attache de cooperation universitaire, scientifique et technique	Embassy of France	Tashkent
Dilshod	Isroilov	Project Manager LGSP Project	UNDP Uzbekistan	Tashkent
Sheroz	Khaydarov	e-Government Specialist, LGSP Project	UNDP Uzbekistan	Tashkent
Adham	Kuchkarov	Task Manager Aid for Trade Component	UNDP Uzbekistan	Namangan
Bakhrom	Kuchkarov	Head of Legal Expertise and International Agreements Department	Cabinet of Ministers of the Republic of Uzbekistan	Tashkent
Rauf Asadullaevich	Kurbanov	Deputy General Director, TKZO Tashkent	Territorial Public Utility and Operations Union of Taskhent City	Tashkent
Nodir	Narkabulov	Task Manager for Jizzakh Region, LGSP Project	UNDP Uzbekistan	Jizzakh
Narzullo	Oblomurodov	Manager, Business Forum of Uzbekistan - phase II Project	UNDP Uzbekistan	Tashkent
Nodir N.	Parpiev	Head of the development assistance service for registration centers of digital signature keys	Unicon.uz Scientific-engineering and marketing research centre	Tashkent
Stefan	Priesner	UN Resident Coordinator, UNDP Resident Representative in Uzbekistan	UNDP Uzbekistan	Tashkent
Alimdjan	Rakhimov	Director	Territorial Public Utility and Operations Union of Taskhent City	Tashkent

First Name	Last Name	Position	Organisation	Location
Otabek	Rashidov	National Project Officer, Politico-Military Dimension	Organisation for Security and Cooperation in Europe (OSCE)	Tashkent
Ulugbek	Saliev	Project Assistant for Namangan region, LGSP	UNDP Uzbekistan	Namangan
Gayratkhodja G.	Saydaliev	Deputy Director	UZINFOCOM Computerization and Information Technologies Developing Center	Tashkent
Bakhtiyor	Sayfitdinov	Task Manager for Namangan Region, LGSP Project	UNDP Uzbekistan	Namangan
Mjusa	Sever	Director	Regional Dialogue	Tashkent
Behzod	Sharipov	Deputy Head of Branch Office	Regional Dialogue	Tashkent
Nodir	Sultan- Mukhamedov	Executive Officer	Chamber of Commerce and Industry of Uzbekistan	Tashkent
Assunta	Testa	Programme Manager, Rule of Law, Governance, Civil Society and Rural Development	European Union Delegation in Tashkent	Tashkent
Aziza	Umarova	Programme Officer for Democratic Governance	UNDP Uzbekistan	Tashkent
Oybek	Yakhshiyev	Administrative/Finance Assistant, LGSP Project	UNDP Uzbekistan	Tashkent
		Deputy Khokim	Jizzakh Region Khokimiyat	Jizzakh
			Jizzakh Region Information Centre	Jizzakh
			Jizzakh City Khokimiyat	Jizzakh
			Jizzakh City Information Centre	Jizzakh
			Jizzakh City One Stop Shop	Jizzakh
		Chairwoman	Jizzakh Branch, Red Crescent Society of Uzbekistan	Jizzakh
		Chairman	Jizzakh Society of Disabled Persons	Jizzakh
			Namangan City Information Centre	Namangan
			Namangan City Strategy Working Group - 5 members	Namangan
			State Committee for Communications, Informatization and Telecommunication Technologies	Tashkent
			STATE Committee for Taxation	Tashkent

## Annex C Project Plans and Reports Available

LGSP Project Document signed UNDP 24/2/2010, Cabinet of Ministers 14/3/2010

LGSP Revised Project Document signed Cabinet of Ministers 28/1/2011, UNDP 25/2/2011

Annual Report 2012;

DGTTF Progress Report April 2011 – Feb 2012

LGSP Quarterly Progress Report Q3 2011

LGSP Quarterly Progress Report Q4 2012

LGSP Quarterly Progress Report Q2 2013

Executive Snapshot v 4.8 Project Progress Report created 7/11/2013

## Annex D Functions of Government

This classification of functions comes originally from work carried out by UNDP in East and Central Europe, with some additional modifications based on further experience<sup>28</sup>.

### Classification of Functions

**Policy Functions:** such as strategic planning, legal drafting, development of performance contracts, minimum standards, norms, policy analysis and evaluation, forecasting.

**Coordination Functions:** such as coordinating relationships between different bodies of the central ministry, coordinating policy setting and implementation, and coordinating

**Performance Monitoring Functions:** such as monitoring the performance of central and subsidiary bodies, facilitating and enabling central and subsidiary bodies to reach their performance targets.

**Regulation/Standard Setting Functions:** such as licensing, certification, permissions, accreditation, inspection, compliance, and financial audit.

**Support to Government Functions:** such as financial management, human resource management, information systems, infrastructure, staff training, efficiency review and management audit, and secretarial services.

**Public Service Delivery Functions:** such as the provision of products or services to internal or external customers. Service delivery is normally performed by subordinate or supervised bodies.

DAI Europe propose the following principles for organising functions:

- Functions of the same type should be grouped together whenever possible to produce economies of scale and maximize synergies and common types of skills.
- Conversely, it is important to separate policy and service delivery functions, and to ensure that policy functions are performed by the central ministry and service delivery by subsidiary bodies of the ministry.
- Regulatory functions should be separated from service delivery functions to prevent conflicts of interest and corruption.
- Support functions that enable the core functions of the ministry to be performed should be separated from all other functions.

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<sup>28</sup> with thanks to DAI Europe for making this draft available

## Annex E Key Documents

Minutes from project board meetings

Welfare Improvement Strategy 2008

Welfare Improvement Strategy 2013

[...to be completed...]

## Annex F List of NGOs in Regional Development Strategy Process

### Jizzakh

	Name and description	Comments
1	Djizak regional department of “Nuroni” fund - social support to veterans of Uzbekistan.	Government fund: <a href="http://nuroni.gov.uz">http://nuroni.gov.uz</a>
2	“Istiqbolli avlod”- support to youth in getting education and help with employment.	
3	“Qalb Nuri” Djizak regional center- social and legal support for women and their family.	
4	Djizak regional department of “Independent institute for monitoring the formation of civil society”.	Founded by order of President Karimov: <a href="http://en.trend.az/news/society/1913377.html">http://en.trend.az/news/society/1913377.html</a>
5	Djizak regional department of Chamber of Commerce and Industry of Uzbekistan.	Founded by decree of the President of the Republic of Uzbekistan from 7, July, 2004 <a href="http://www.chamber.uz/en/site/show?page=tpp_history">http://www.chamber.uz/en/site/show?page=tpp_history</a>
6	“Mahalla”- Charitable public Fund of Uzbekistan	Government established fund and organisation <a href="http://mahallafond.uz/en/">http://mahallafond.uz/en/</a>
7	Djizak regional department of “Soglom avlod uhun”- For healthy generation international nongovernmental charity fund.	Soglom avlod uchun foundation was established by the Decree of the President of Republic of Uzbekistan as of April 23, 1993 <a href="http://sau.uz/eng/who-we-are/history/">http://sau.uz/eng/who-we-are/history/</a>

### Namangan

No	Name	Description of activity	Comments
1	Namangan regional department of “Independent institute for monitoring the formation of civil society”.	Survey citizens opinion, collect data and analyses of civil society development	The Independent Institute monitoring the formation of a civil society was established under the Institute for Civil Society Study upon Uzbek President Islam Karimov's order. <a href="http://en.trend.az/news/society/1913377.html">http://en.trend.az/news/society/1913377.html</a>
2	Namangan regional department of Chamber of Commerce and Industry of Uzbekistan.	Support business entities to develop business and protect their rights	
3	“Mahalla”- Charitable public Fund Namangan regional/city department	Support communities in all levels and capacity building activities of community staff members	Government fund for supporting Mahallas
4	“Soglom avlod uhun” Namangan regional	international nongovernmental charity	Soglom avlod uchun foundation was established by the Decree of the President of

No	Name	Description of activity	Comments
	department	fund for healthy generation	Republic of Uzbekistan as of April 23, 1993 – <a href="http://sau.uz/eng/who-we-are/history/">http://sau.uz/eng/who-we-are/history/</a>
5	Red Crescent society Namangan regional branch	Humanitarian activities, first aid and disaster preparedness	Independent, but auxiliary status to government under the Geneva Convention.
6	“Penchak silat” Namangan federation	Teaching, conducting competition on Indonesian martial art “Penchak silat”	
7	“Hunarmand” association Namangan regional branch	United local entrepreneurs/craftsmen	Association "Hunarmaid"-governmental, non-profit, non-governmental organization, founded by the Decree of the President of the Republic of Uzbekistan № UP -1741 "On Measures of State Support for further development of folk arts and crafts" from March 31, 1997. <a href="http://hunarmand.uz/en/about.html">http://hunarmand.uz/en/about.html</a>
8	“Tadbirkor ayol” association Namangan regional branch	creation of favorable conditions for women's participation in the process of formation of market relations, support their entrepreneurship activities	Business Women's Association of Uzbekistan No info on status
9	Association of Journalists, Namangan regional branch	United local journalists, conduct press-conferences	Officially sanctioned
10	“Bolalar va oilalarni qullab-quvvatlash” association Namangan regional branch	Protect child and mothers rights, medical and material support	No information
11	Trade union regional department	United trade union organizations	

## Annex G Financial Summary

(USD)		2010			2011			2012			2013			Totals			
#	Activity Description	Budget	Actual	Var	Budget	Actual	Var	Budget	Actual	Var	Budget	Actual	Var	Budget	Actual	Var	% Var
1	Policy dialogue and PAR	24,700	24,686	14	41,750	41,403	347	54,846	54,784	62	105,535	95,707	9,828	226,832	216,581	10,251	5%
2	Institutional & legal framework	74,670	74,652	18	98,580	97,910	670	88,811	89,082	-272	234,330	166,452	67,878	496,390	428,096	68,294	14%
3	Access to information	79,004	78,995	9	285,400	276,297	9,103	223,162	240,032	-16,869	259,713	172,735	86,979	847,280	768,058	79,222	9%
4	Capacities of civil servants	73,952	73,933	19	40,050	40,561	-511	156,679	160,068	-3,389	135,088	120,295	14,793	405,769	394,857	10,912	3%
5	Civil Society Partnership	7,693	7,679	14	26,180	26,396	-216	56,514	57,416	-902	89,130	53,478	35,652	179,517	144,969	34,548	19%
6	PPP	5,211	5,205	6	70,700	71,239	-539	82,720	86,510	-3,790	65,540	63,861	1,678	224,170	226,816	-2,645	-1%
<b>Totals</b>		<b>265,230</b>	<b>265,151</b>	<b>79</b>	<b>562,660</b>	<b>553,806</b>	<b>8,854</b>	<b>662,732</b>	<b>687,892</b>	<b>-25,160</b>	<b>889,336</b>	<b>672,528</b>	<b>216,808</b>	<b>2,379,958</b>	<b>2,179,377</b>	<b>200,582</b>	<b>8%</b>