



**UN-REDD**  
PROGRAMME



# UN-REDD Uganda National Programme Final Evaluation

## Final Report

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UN-REDD Programme

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17 July 2018

## Acknowledgements

The evaluation team is grateful to the many people in offices of the Government of Uganda, MWE, the REDD+ Secretariat, United Nations Agencies (FAO, UNDP, and UNEP), World Bank team, and Austrian Development Corporation, and other organisations in Kampala who supported and participated in the evaluation process. We thank all stakeholders and appreciate their openness and willingness to provide constructive feedback and suggestions to improve the report.

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## Acronyms

<b>ADC</b>	Austrian Development Corporation
<b>CCPC</b>	Climate Change Policy Committee
<b>CSO</b>	Civil Society Organization
<b>CTA</b>	Chief Technical Adviser
<b>ESMF</b>	Environmental and Social Management Framework
<b>FAO</b>	Food and Agriculture Organization (of the United Nations)
<b>FCPF</b>	Forest Carbon Partnership Facility
<b>FGRM</b>	Feedback and Grievance Redress Mechanism
<b>FIP</b>	Forest Investment Program
<b>FREL</b>	Forest Reference Emission Level
<b>FRL</b>	Forest Reference Level
<b>FSSD</b>	Forestry Sector Support Department
<b>GoU</b>	Government of Uganda
<b>IPCC</b>	Inter-governmental Panel on Climate Change
<b>I(NDC)</b>	Intended National Determined Contribution
<b>IUCN</b>	International Union for the Conservation of Nature
<b>MRV</b>	Monitoring, Reporting and Verification
<b>MWE</b>	Ministry of Water and Environment
<b>NCCAC</b>	National Climate Change Advisory Committee
<b>NDP</b>	National Development Plan
<b>NGO</b>	Non - Governmental Organization
<b>NFA</b>	National Forestry Authority
<b>NPD</b>	National Program Document
<b>NTC</b>	National Technical Committee
<b>REDD+</b>	Reducing emissions from deforestation and forest degradation, and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks
<b>R-PP</b>	REDD Readiness preparation Proposal
<b>SESA</b>	Strategic Environmental and Social Assessment
<b>TOR</b>	Terms of Reference
<b>UGGDS</b>	Uganda Green Growth Development Strategy
<b>UNFCCC</b>	United Nations Framework Convention on Climate Change
<b>UNDP</b>	United Nations Development Programme
<b>UNEP</b>	United Nations Environment Programme
<b>UNP</b>	Uganda National Program (UN-REDD)
<b>UN-REDD</b>	United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation (REDD+)

## Executive Summary

- i. The support from the UN-REDD National Program (UNP) complementing the funding from the World Bank FCPF and Austrian Development Corporation is well appreciated by the Government of Uganda. Given the rate of deforestation and forest degradation over the past two decades, the REDD+ readiness process currently underway enables the country to establish additional mitigation and adaptation measures to reduce the rampant deforestation. Deforestation has reduced Uganda's forest area from 3.6million hectares in 2005 to 2.42 million in 2015. These statistics put Uganda in position of having one of the highest deforestation rates in the world.
- ii. The key drivers of deforestation and forest degradation in Uganda are: i) expansion of commercial and subsistence agricultural into forest lands and bush lands; ii) unsustainable harvesting of tree products, mainly for charcoal, firewood and timber; iii) expanding urban and rural human settlements and impacts of refugees; iv) free-grazing livestock; v) wild fires; vi) artisanal mining operations; and vii) oil exploration activities.
- iii. The underlying causes are symptoms of underlying socio-economic factors including: i) high rates of population growth and ii) levels of economic performance resulting in high dependence on subsistence agriculture, natural resources and biomass energy as well as competing economic returns from land that do not favour long-term investments such as forestry. Other significant underlying causes include: i) weak forest governance manifested in weak forest management, planning and regulation; ii) weak policy implementation; iii) climate change effects; and iv) land tenure systems.
- iv. **UNP Design and Relevance:** The UNP had three outcomes as listed below with a total budget of US\$1,833,760. This funding complimented \$3.634million from the FCPF and \$0.89million from the Austrian Development Corporation in addition to the Government's own contribution. Uganda has also received additional funding under the FCPF readiness support amounting to \$3.75million in 2017.

Outcome 1	A transformational national REDD+ strategy is designed through substantial multi-sectorial technical and policy dialogue, including robust policy options and measures, mainstreamed and anchored in national development vision, planning and framework – (UNDP)
Outcome 2	Key elements of the NFMS are developed, and related national capacities are strengthened – (FAO)
Outcome 3	Subnational implementation of the REDD+ strategy is prepared and facilitated through an "integrated landscape management" approach, building on a comprehensive set of analytical work, engagement and capacity building of stakeholders, and early actions (UNEP) (Later revised to [A Subnational REDD+ implementation roadmap prepared and fed into the REDD+ national strategy development process].

- v. The overall design of the UNP is satisfactory and aligned well with the ongoing R-PP implementation. The stated program goal i.e. "Enable Uganda to be ready for REDD+ implementation, including development of necessary institutions, policies, instruments and capacities, in a collaborative and leveraging way with other REDD+ readiness partners" is clear. The selected Outcomes are also in line with the described context of the GoU, FCPF, ADC, and other development partner support for REDD+.
- vi. The Government views forestry as one of the key sectors to support its climate change response hence REDD+ is one of many options that the Government considers as relevant to support its objectives. Uganda is one of 56 countries that indicate in their Nationally Determined Contributions (NDCs) the aim to implement

REDD+ as part of their broader strategies to address climate change. REDD+, and indeed the UNP, support several national economic development agendas. The Government has developed the Uganda Green Growth Development Strategy (UGGDS) to operationalize green growth principles and accelerate the implementation of global development goals, Uganda Vision 2040 and the second National Development Plan (NDP II). One of the focus areas of the UGGDS is natural capital management and development which focuses on tourism development, sustainable forestry, wetlands and optimal water resources management. Hence efforts to address forestry sector challenges are important for this focus area.

- vii. Vision 2040 sets a target of increasing forest cover to 24% against a 2010 baseline of 15%. It is also encouraging to note the setting of important ENR targets in the NDP II that encompass the need for taking urgent action to combat climate change and its impacts through sustainable use of natural resources for sustainable development. REDD+ is one of numerous projects listed under the Public Investment Plan continuing from NDP I. As such, REDD+ has an elevated and a significant role to play in achieving the country's economic development agenda.
- viii. **Delivery of Outputs:** The UNP achieved many of the outputs it set out to implement. Over and above the contributions from development partners and GoU, the UNP led by UNDP, contributed towards the development of the National REDD+ Strategy (NRS) under Outcome 1 and this is well acknowledged by the Government. The NRS was launched at COP23 in 2017. There is strong national support based on feedback from a sample of stakeholders interviewed during the evaluation mission but also an acknowledgement that the suite of strategy options now need to be translated into actions on the ground. Senior government officials including a Minister were interviewed and reiterated the importance and relevance of REDD+ as well as acknowledging the support received under the UNP.
- ix. Under Outcome 2, the progress with the NFMS is commendable and there is constant reference that, while not yet complete, Uganda now has one of the more advanced NFMS in the region. The progress with this component of the R-PP is a result of the support provided by FAO with funding from the FCPF, UNP, ADC as well as the GoU. The technical support from FAO and of course the effort of the NFA team enabled Uganda to finalize a national forest definition using a robust process that involved the methodological Task-Force and National Technical Committee with further endorsement by NCCAC in November 2016. Uganda submitted a Forest Reference Level (FRL) to the UNFCCC in January 2017.
- x. Under Outcome 2, Uganda also developed a time series data for the year 1990, 2000, 2005 and 2015 including accuracy assessment and identified hot spots and trends of land conversions over the last 25 years. This information was instrumental in the development of the NRS and would also be useful for designing intervention programs going forward.
- xi. Outcome 3 was implemented under UNEP oversight in collaboration with IUCN. A set of analytical studies were completed and give insights into land use systems, temporal land use patterns, as well as the policy, legal and regulatory framework needed for the sub-national REDD+ interventions. Important work was also carried out to strengthen participatory structures, to ensure that cultural, religious and forest dependent people are informed and can participate in REDD+. Under this outcome, a roadmap was developed outlining a framework for subsequent implementation of the NRS at sub-national level or landscape level setting up platforms for consulting all the relevant sub-national stakeholders. This road map provides an important outline of options and opportunities for strengthening REDD+ implementation.



- xii. Another important output from this outcome is the development of a prototype National Forest Accounts intended to capture the contribution of forests to the national economy. The process used to prepare the prototype was effective enough to establish necessary collaboration with the Uganda Bureau of Statistics. However, UNEP and IUCN acknowledge that the outputs need further work to fully show the value of the forests to the economy and potential for climate change mitigation. These accounts could provide an important basis for informed policy-making in the forestry sector moving forward and a valuable tool for the country's Forest Investments Programme and the Uganda Green Growth Strategy.
- xiii. **Capacity Development, Sustainability, and Impact:** The successful completion of the UNP and continuing implementation of the FCPF readiness activities denotes that there is capacity for implementation at the programme level but of course being cognisant of some critical challenges that affect the effective and efficient implementation of programmes. Feedback from government staff is that there is work overload and that REDD+ is in fact additional work with no additional permanent staff resources. There are ceilings to annual budgets irrespective of changes in annual workplans and government institutions are not able to increase their staff numbers. The institutions that will play a central and long-term role in the implementation of REDD+ such as the FSSD and NFA are under-resourced hence there is a fundamental need to prepare a sustainable capacity development plan in line with the national REDD+ strategy options.
- xiv. There is significant appetite among stakeholders for the government to expedite the implementation of REDD+. However, despite this interest, there are some major challenges that Uganda faces and needs to address including some important pre-conditions to create the necessary enabling environment for REDD+ to succeed. Land and forest governance reforms are often considered as preconditions for implementing REDD+ and underpin the government's objectives to the forestry sector transformation agenda. There is consensus that forest governance, spatial planning, and land tenure will need to be addressed but this will require additional political support and vigorous resource mobilization.
- xv. The likelihood for impact and sustainability will be the result of combined contribution by the UNP, FCPF ADC, GoU and continued linkages to National Development Plans and keeping in line with Vision 2040, NDC pledges, and the Uganda Green Growth Strategy among others. However, such linkages can only be adequately maintained with appropriate resource of the FSSP and support from the NCCAC. At the operational level, institutional sustainability also needs significant support as outlined in the Roadmap prepared under Outcome 3.
- xvi. Finally, upscaling REDD+ and implementing the strategy options will need to achieve short term intermediate gains that address community livelihoods and create the momentum for transformative actions. This is where the impact of the REDD+ readiness process will start to become more visible. Continued formulation, strengthening and implementation of policies rests with the Government and relevant institutions – but more so, it comes down to effective mainstreaming of REDD+ across sectors (agriculture, forestry, energy, transport, mining etc.). External capacity support is only effective if there is national ownership. This evaluation highlights several areas that still needs further work – some aspects are more fundamental and require a cultural shift, while others require transformative managerial and political commitment with the understanding that the ultimate beneficiaries (communities) are the most affected yet hold the least influence.

## **Uganda REDD+ Readiness Status**

- xvii. The FCPF has established a framework for assessment of REDD+ Readiness and at the time of this evaluation, the REDD+ Secretariat had begun a self-assessment process. The Readiness Assessment provides a common framework to measure a country's progress on core readiness activities. It is a thorough self-examination by REDD country stakeholders to take stock of the activities implemented during the REDD+ readiness preparation phase and assess progress on REDD+ readiness. The results of the Readiness Assessment are compiled in an R-Package, which documents the country's progress, captures lessons learned, assesses remaining gaps, and identifies activities for the way forward to transitioning to the implementation of performance-based activities. Therefore, that is the process that is recommended to assess the country's readiness status. This process will summarize the readiness process, undertake multi-stakeholder self-assessment process, and outline the key outputs of the readiness preparation process.

## Summary of Evaluation of Programme Performance<sup>1</sup>

Criterion	Rating	Summary Assessment
<b>Concept and relevance of the NP</b>		
Design	R	This final evaluation finds the design to be relevant.
Relevance	R	The UNP is highly relevant especially noting the critical need for transformation of the forestry sector
<b>Results and contribution to stated objectives</b>		
Delivery of Outputs	S	The overall delivery of the program and outputs is not solely attributable to the UNP, but the contribution of the UNP is satisfactory noting Uganda has prepared a National REDD+ Strategy, significantly advanced NFMS incorporating MRV and submitted a FREL to the UNFCCC.
Effectiveness	S	In the context of the complementary role, the UNP effectively contributed to the objectives of the R-PP objectives but the overall impact should be evaluated at the completion of the REDD+ Readiness process which is still in progress.
Efficiency	MS	The UNP had a no-cost extension from 1 <sup>st</sup> August – 31 <sup>st</sup> December 2017 but mostly attributable to issues at the beginning due to the need for adjustments to fit in within the existing FCPF program framework and slow recruitment.
Cross-cutting issues:		
Gender	MS	Crosscutting issues are becoming increasingly important in mainstreaming climate change. This rating reflects the design aspects. Fundamentally, design at the minimum, necessarily need to include gender issues.
Capacity Development	MS	The capacity development is satisfactory but there is general feedback for further capacity building at both national and sub-national level.
Normative Products	S	Working as three agencies with capacity and expertise across a wide spectrum of thematic areas remains one of the strongest comparative advantages of the UN agencies. The key result from the normative work of each agency has been the increasing and supporting dialogue necessary to enhance sectoral integration and mainstreaming climate in line with the Uganda Green Growth Development Strategy
Sustainability	L	The likelihood for sustainability is moderate because of the capacity challenges facing government institutions. The freeze on recruitment is a significant limitation to continuity since the national REDD+ program implementation has been supported by a large pool of international experts with terminal involvement.
Up-scaling	L	The complimentary role to the FCPF program makes the likelihood for upscaling high since the FCPF is continuing with additional funding. There are plans already underway to develop emission reductions programs in selected landscapes.
Likelihood of Impact	S	The results of the UNP will have a significant impact in the long-term but this will depend on the ability of the GoU to maintain the systems setup under both the FCPF, ADC and UNP. For instances, there is need for substantive capacity to maintain the NFMS, the

<sup>1</sup> **Agency coordination and implementation; outcomes; overall programme results:** Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU).

**Sustainability:** Likely (L); Moderately Likely (ML); Moderately Unlikely (MU); Unlikely (U).

**Relevance:** relevant (R) or not relevant (NR).

**Impact:** Significant (S), Minimal (M), Negligible (N).

Criterion	Rating	Summary Assessment
		necessary engagement with the communities who will be involved in implementation of intervention.
<b>Factors affecting performance</b>		
Programme management and coordination	MS	Coordination of the program implementation was a joint effort between the government and the UN agencies and this seems to have worked satisfactorily.
Human and financial resources administration	MS	Staff resourcing with the UN agencies was adequate to support the delivery of the UNP. International advisors are imbedded in government agencies such as FD. There were some delays in bringing technical advisors at the beginning and this report proposes some options for preventing delays at the beginning.
Technical backstopping and supervision	S	The technical backstopping was adequate and satisfactory. Both UNDP, FAO, and UNEP provided technical backstopping through the regional offices and Head offices.
Government participation and ownership	S	The GOU showed its interest in taking ownership of the implementation of the UNP right from the beginning and continued with making incremental institutional adjustments necessary for the success of the UNP.
Monitoring, reporting and evaluation	S	Effective reporting was performed through semi-annual and annual progress reports. The mid-term review provided an opportunity for re-aligning the UNP.
<b>Overall Programme Performance</b>	<b>S</b>	<b>The UNP is satisfactory and both the GOU and the UN agencies should be credited for a well implemented program that is likely to have a significant impact.</b>

## RECOMMENDATIONS

The recommendations are formulated based on the Evaluator's view on what could be done to enhance the readiness process for Uganda. The first set of recommendations address the UN-REDD agencies with regards to programme design. The second set is for consideration by the GOU and World Bank FCPF program. These recommendations summarise the broader discussions presented throughout the report.

### Summary Recommendations

#### *For the UN-REDD agencies with regards to programme design*

**RECOMMENDATION 1 – Staff Recruitment:** Staff recruitment needs to be expedited to avoid program delays. Understandably, UN agencies processes can be protracted but considerations could be made to initiate program staff recruitment at the earliest possible time. This could potentially reduce some of the implementation delays and failure to meet targets. For instance, considerations could be made to initiate the recruitment process once it is certain that a program will go ahead by soliciting expressions of interest conditional on final project funding approval.

**RECOMMENDATION 2 – Activity Sequencing:** During the formulation phase, it is important to consider sequencing activities in such a manner that they are useful for the key products. The forest accounts work proved to be a key output, but the sequence resulted in the loss of opportunity to inform the REDD+ process on data gaps that could have informed the formulation of the activities under the FCPF additional funding. As outlined in this report, Forest Accounts could be a highly valuable tool for informing policy and key decision makers on the critical value of the forest sector and justification for equitable fiscal support going forward.

#### *For consideration by the Government of Uganda*

**RECOMMENDATION 3: National REDD+ Strategy:** Following the acknowledgment that additional work is necessary to improve that NRS, the Roadmap prepared under Outcome 3 by IUCN outlines important aspects that are in the critical path for successful implementation of the REDD+ strategy options at sub-national level. It is highly recommended that considerations be made on how to respond to the proposals. In doing so, further considerations could be made how REDD+ can add value towards strengthening forest sector governance in anticipation of the implementation of landscape emission reductions programs that are being planned.

**RECOMMENDATION 4: Institutional Capacity:** Noting the future role of NFA GIS Unit, the current level of staff complement is inadequate considering the high demand for services, data, and analytical support in future as the implementation of the NRS begins. Technical units can benefit from closer collaboration with tertiary institutions by having defined internship programs for instance.

**RECOMMENDATION 5: Upscaling and fund/resource mobilization:** As the country transition from REDD+ Readiness to implementation, there are significant efforts across institutions, development partners, CSOs and private sector to develop program proposals to mobilize funding resources. This is a positive sign but also one that needs careful coordination and collaboration to reduce the risk of duplication, inconsistencies, and potential conflicts between program proposals in different institutions. The coordination capacity of FSSD will need to be strengthened to ensure proposal to international climate funds are complementary and not competing.

# PART 1. INTRODUCTION

## 1 CONTEXT OF THE NATIONAL PROGRAMME

1. The UN-REDD Programme is the United Nations collaborative initiative on Reducing Emissions from Deforestation and Forest Degradation (REDD+) in developing countries. The UN-REDD Programme supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in national and international REDD+ implementation.
2. The Uganda REDD+ Readiness Phase started in 2010 with the development of the REDD+ Readiness Preparation Proposal (R-PP) which was approved at the 9th Participants Committee meeting in Oslo on June 2011. The R-PP sets the basis for all REDD+ work. As such, the Uganda UN-REDD National Program (UNP) became part of on-going efforts by the Government of Uganda (GoU), the World Bank's Forest Carbon Partnership Facility (FCPF) initiative, the Austrian Development Cooperation (ADC) and other partners to support the implementation of R-PP. The Uganda R-PP includes (a) Readiness Organization and Consultation (b) REDD+ Strategy Preparation, (c) Reference Emissions Level/Reference Levels, and; (d) Monitoring Systems for Forests and Safeguards.
3. The FCPF Readiness Grant Agreement of US\$3.634 million) was signed in June 2013 and became effective in December 2013 with an initial closing date of June 30, 2016. The ADC financial support was approved in June 2013 specifically earmarked for work on national forest monitoring systems, safeguards, and multiple benefits of REDD+. The UNP was approved at the UN-REDD Programme 13th Policy Board in November 2014 and started in October 2015.
4. Under a dedicated budget code, the GoU committed US\$659,000 equivalent in FY2014/2015 and FY2015/2016 (including financing of distribution of 600,000 tree seedlings to farmers in the Mt. Elgon area, as a quick-start on-the-ground intervention on REDD+), and in-kind contribution of US\$427,000 equivalent. The 2016/2017 Budget included an allocation of UGX 2.2 billion (US\$575,000). By 2015, the GoU had mobilized US\$7,59million to implement its R-PP as outlined in Table 1-1 and received an additional \$3.75 grant from the FCPF in 2017.

Table 1-1 Uganda R-PP Funding

Component	Funding	Start Date
<b>GoU</b>	1,086,000	July 2013
<b>FCPF</b>	3,634,000	July 2013
<b>Austrian Development Corporation</b>	890,797	July 2013
<b>UN-REDD Targeted Support</b>	150,000	April 2014
<b>UN-REDD National Programme</b>	1,833,760	October 2015
<b>FCPF Additional Funding</b>	3,750,000	July 2017
<b>Total</b>	11,344,557	

Source: FCPF Mid-Term Review 2016

5. The GoU aims to transform a predominantly peasant and low-income country to a competitive upper middle-income country and this requires a multipronged approach. The GoU recognizes that most of the key economic sectors (agriculture, forestry, and energy) will be affected by climate change with significant impact on the economy. Thus, in general terms, REDD+ is highly relevant and of course any program that supports efforts in climate change mitigation and adaption as well as pro-poor socio-economic development.
6. The combination of a relatively large population and high growth rate and the pressure on natural resources makes adoption of mitigation options such as REDD+ relevant to the

country and more so, REDD+ is considered both a mitigation and adaptation action under the Uganda's Climate Change policy (2013). As already recognized in Uganda's previous and current five-year National Development Plans (NDP II) and the Country's vision 2040, addressing climate change is key to enhancing sustainable economic and social development and this will take many forms and approaches. Considering the estimated population of 32.9 million has been growing at 3.2 per cent per year (averaged over the past decade) and predicted to double by 2050, the pressure on land will continue to increase and drive land use change.

7. The total area of Uganda's forests as of 2005 was 3,594,550 hectares of which up to 36% was under the jurisdiction of various government authorities and the other 64% on private land. In 2015 the forest cover is estimated at 2.42 million hectares or 12% of the total land area. These statistics put Uganda in position of having one of the highest deforestation rates in the world. With the bulk of this forest area being on private land, it becomes even more important to provide incentives, policies and measures to sustain existing forest and provide opportunities for increasing forest cover.
8. Since the FCPF Readiness support was already in place by the time Uganda was accepted into the UN-REDD Program, it was jointly agreed that the UNP would support the REDD+ readiness process with three major outcomes:
  - i) A transformational national REDD+ strategy is designed through substantial multi-sectorial technical and policy dialogue, including robust policy options and measures, mainstreamed and anchored in national development vision, planning and framework.
  - ii) A National Forest Monitoring System (NFMS) is designed and set up, with appropriate Measuring, Reporting and Verification (MRV) functions.
  - iii) Subnational implementation of the REDD+ national strategy is prepared and facilitated through an "integrated landscape management" approach, building on a comprehensive set of analytical work, engagement and capacity building of stakeholders, and early actions. [This outcome was subsequently adjusted following a mid-term review. The revised Outcome 3 reads: *A Subnational REDD+ implementation roadmap prepared and fed into the REDD+ national strategy development process*].
9. The next section briefly outlines the evaluation process.

## 2 THE EVALUATION

### 2.1 Purpose of the Evaluation

10. The scope of the evaluation is the Uganda UN-REDD National Programme and its outputs. The programme was delivered from the time of inception in October 2015 until the time of closure in December 2017.
11. The specific objectives of the evaluation are:
  - i) to provide evidence of results to meet accountability requirements;
  - ii) to assess the status of the REDD+ readiness in Uganda as according to programme formulation and delivery;
  - iii) itemize gaps and challenges that need to be addressed to achieve REDD+ readiness and the UN-REDD national programme's future role in the REDD+ process in the country;
  - iv) to propose recommendations on how existing and potential financing and investments opportunities can be leveraged and better coordinated for the implementation of the national REDD+ strategy;
  - v) to review the institutional arrangements for the National REDD+ Strategy and make recommendations on how to best implement REDD+ within these institutional arrangements; and
  - vi) to promote learning, feedback and knowledge sharing through results and lessons learned among the participating partners and stakeholders including the GoU and UN Agencies and other partners. The evaluation will identify operational and technical lessons learned that are relevant to the implementation of REDD+ in Uganda, as well as the future UN-REDD national programmes.
12. The primary audience for the evaluation will be the Government of Uganda, the 3 UN-REDD Agencies (UNDP, FAO, and UNEP), the World Bank, and the Austrian Development Cooperation (ADC). The secondary audience of the evaluation will be the national REDD+ Stakeholders and the UN-REDD Executive Board. The evaluation will also be made available to the public through the UN-REDD programme website, [www.un-redd.org](http://www.un-redd.org).

### 2.2 Methodology of the Evaluation

13. The Terms of Reference prescribed the evaluation method and this report is primarily based on the requirements. However, some aspects of the prescribed methodology were tailored to the context of the UNP. In particular, the tailoring was necessitated due to the complementary nature of the UNP since it was designed within the context FCPF REDD+ readiness program. The adjustments to the methodology were elaborated in an inception report and discussed at the inception meeting. The basis for the evaluation framework is a series of tailored questions, judgement criteria and indicators against the Organisation for Economic Co-operation and Development (OECD) Development Assistance Criteria (DAC). These cover the following five thematic areas:
  - i) **Relevance:** the extent to which the National Programme and its intended outcomes or outputs are consistent with national and local policies and priorities and the needs of the intended beneficiaries. Relevance also considers the extent to which



the initiative is aligned with the UN-REDD Strategic Framework 2016-2020<sup>2</sup> (or the UN-REDD Programme Framework Document<sup>3</sup> for Programmes approved before November 2010) and the corporate plans of the three participating UN Organizations. Relevance *vis-à-vis* other REDD+ or REDD+-related programmes implemented in the country should also be examined, in terms of synergies, complementarities and absence of duplication of efforts.

- ii) **Effectiveness:** measures the extent to which the National Programme's intended results (outputs and outcomes) have been achieved or the extent to which progress towards outputs and outcomes has been achieved.
- iii) **Efficiency:** measures how economically resources or inputs (such as funds, expertise and time) are converted to achieving stipulated outcomes and outputs.
- iv) **Sustainability:** analyses the likelihood of sustainable outcomes at programme termination, with attention to sustainability of financial resources, the socio-political environment, catalytic or replication effects of the project, institutional and governance factors, and environmental risks.
- v) **Impact:** measures to what extent the National Programme has contributed to or is likely to contribute to intermediate states towards impact, such as changes in the governance systems and stakeholder behaviour, and impact on people's lives and the environment.

14. The evaluation consisted of an inception phase followed by a field mission, documentation review, drafting the report and seeking feedback prior to preparing the final report. Table 2-1 outlines the evaluation process.

Table 2-1: Summary of Phases and Timeframe for the Evaluation

Activity	Timing
<i>Inception phase:</i> Draft inception report delivered Call for comments on inception report Presentation of Inception Report	<i>15 May 2018</i> <i>15 to 21 May 2018</i> <i>29 May 2018</i>
<i>Evaluation Phase</i> Desk Review Field Mission Presentation of Preliminary Findings	<i>21 to 28 May 2018</i> <i>28 May to 13 June 2018</i> <i>12 June 2018</i>
<i>Reporting phase:</i> Analysis Draft final report delivered Review of draft final report Final report delivered	<i>22 June 2018</i> <i>22 to 29 June</i> <i>4 July</i>

<sup>2</sup> The UN-REDD Strategic Framework 2016-2020 is available on:

[http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4598&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4598&Itemid=53)

<sup>3</sup> The UN-REDD Programme Framework Document is available on:

[http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53)

15. The Evaluator interviewed staff in the UN agencies, senior and technical government officials, higher learning institutions, and NGOs. The REDD+ Secretariat and UNDP facilitated high level meetings with the Minister of State for Environment and Director of Environment Affairs. The evaluation also coincided with the consultation process on the preparation of the R-Package. The REDD+ Secretariat arranged for the Evaluator to attend the meeting and interact with the REDD+ National Technical Committee in Entebbe on 31<sup>st</sup> May 2018. Key documents such as the Uganda R-PP, FCPF programme MTR, UN-REDD programme document, annual work plans, annual reports were reviewed as well as individual and group interviews during the in-country visit. Annex 4 has a list of interviewees.
16. **Specific feedback to the UNDP Country Office:** To improve the evaluation process the evaluator highly recommends arranging logistics such as travel, meetings, and transportation well in advance of the country visit. The arrangements for meetings were somewhat late and it is the view of the evaluator that the allocated time is insufficient taking into consideration the considerable amount of time required to travel in and around Kampala due traffic congestion. Early arrangements and notification of meetings could have increased the turnout for the inception briefing and mission debriefing.

## PART 2. MAIN FINDINGS OF THE EVALUATION

### 3 CONCEPT AND RELEVANCE

#### 3.1 Design

Table 3-1: Ratings for Programme Design

Outcome	Rating
<b>Overall Rating for Design</b>	<b>S</b>
Outcome 1	S
Outcome 2	S
Outcome 3	MS

17. The UNP was designed with 3 Outcome areas presented in Table 3-2:

Table 3-2: NP Outcomes and Outputs

Outcome output	Outcome/output
<b>Outcome 1:</b>	<b>A transformational national REDD+ strategy is designed through substantial multi-sectorial technical and policy dialogue, including robust policy options and measures, mainstreamed and anchored in national development vision, planning and framework - UNDP</b>
Output 1.1	The strategy design process is run in a timely manner, respectful to REDD+ readiness principles, with robust technical backstopping and in smooth coordination with all other components of REDD+ readiness
Output 1.2	The analytical inputs to the national strategy are robust and comprehensive
Output 1.3:	The policy dimension of the strategy is strengthened through policy-level and cross-sectorial dialogue and assessment of options
Output 1.4	The national REDD+ strategy is fully embedded in, and directly contributes to the national development planning and budgeting processes
Output 1.5	The national REDD+ strategy enjoys strong international recognition and mobilizes support for the investment phase
<b>Outcome 2</b>	<b>Key elements of the NFMS are developed, and related national capacities are strengthened – FAO</b>
Output 2.1	Field data and relevant supplementary information for the development of emission factors are collected and analyzed
Output 2.2	NFA capacities to systematically monitor forest and land cover/use change (REDD+ activity data) are strengthened
Output 2.3	NFA has the capacities and tools to store, update and disseminate REDD+ information
Output 2.4	Government of Uganda has the capacities to report on its GHG emissions from the forestry sector and a draft GHG-I report
<b>Outcome 3 (revised after MTR)</b>	<b>Subnational implementation of the REDD+ strategy is prepared and facilitated through an "integrated landscape management" approach, building on a comprehensive set of analytical work, engagement and capacity building of stakeholders, and early actions. [The revised Outcome 3 reads: A Subnational REDD+ implementation roadmap prepared and fed into the REDD+ national strategy development process].</b>
Output 3.1	Understanding of land use systems, rightful access to and spatial temporal resource use pattern at subnational level enhanced through analytical work at selected representative landscapes
Output 3.2	Subnational stakeholders effectively engaged through consultations and capacity building for the sustainable implementation of the REDD+ national strategy
Output 3.3	Subnational REDD+ implementation strategy prepared and fed into the REDD+ national strategy development process

18. The overall design of the UNP is satisfactory and a pragmatic approach was taken to identify specific gaps in already ongoing R-PP implementation activities where funding supporting was needed. The stated program goal i.e. "Enable Uganda to be ready for REDD+ implementation, including development of necessary institutions, policies, instruments and capacities, in a collaborative and leveraging way with other REDD+ readiness partners" is clear. The selected Outcomes are also in line with the described context of the GoU, FCPF, ADC, and other development partner support for REDD+. Table 3-3 summarizes the fund allocation across the UN agencies and the programme timelines

Table 3-3 Budget allocation and program duration

UN Agency	Approved Programme Budget <sup>4</sup>	Amount Transferred <sup>5</sup>	Cumulative Expenditures up to 31 December 2017 <sup>6</sup>
FAO	640,000	684,800	684,800
UNDP	601,000	643,070	562,500
UNEP	440,000	470,800	458,655
Indirect Support Cost (7%)	117,670	(incl. above)	(incl. above)
Total	1,798,670	1,798,670	1,705,955
Programme Duration	24 months	Original End Date <sup>7</sup>	July 31, 2017
NPD Signature Date	September 4, 2015	No-Cost Extension	Granted on August 18, till December 31, 2017
Date of First Fund Transfer <sup>8</sup>	October 8, 2015	Current End Date	December 31, 2017

19. Based on the documentation reviewed, the UNP Outcomes were agreed through extensive joint discussions between the GoU, World Bank, UN-REDD to ensure it appropriately supported the following four R-PP components:
- Readiness Organization and Consultation;
  - REDD+ Strategy Preparation, assessment of LULC, drivers, PLR, governance, REDD+ strategy options, implementation framework and social and environmental impacts;
  - Reference Emissions Level/Reference Levels;
  - National Forest Monitoring Systems for Forests and Safeguards
20. **Outcome 1 (UNDP):** A transformational national REDD+ strategy is designed through substantial multi-sectorial technical and policy dialogue, including robust policy options and measures, mainstreamed and anchored in national development vision, planning and framework: This outcome focused on supporting the preparation the NRS by providing additional technical support through the recruitment of national and international experts to support the REDD+ Secretariat which seems to be overwhelmingly understaffed. There are five outputs.

<sup>4</sup> The total budget for the entire duration of the Programme as specified in the signed Submission Form and NPD.

<sup>5</sup> Amount transferred to the participating UN Organization from the UN-REDD Multi-Partner Trust Fund.

<sup>6</sup> The sum of commitments and disbursement

<sup>7</sup> The original end date as stated in the NPD.

<sup>8</sup> As reflected on the MPTF Office Gateway <http://mptf.undp.org>.

21. Output 1.1 was designed to strengthen the capacity of the REDD+ Secretariat to effectively coordinate work. Noting the constant feedback during this evaluation on the capacity constraints, it is therefore appropriate that the UNP supported additional resources to those already supported under the FCPF grant and government.
22. Output 1.2 focused on studies to increase the understanding on reforestation potential and subsequent community-based approaches to REDD+. To engage decision and policy makers, Output 1.3 was designed to engage in policy dialogue at both national and sub-national level. There was a particularly considerable number of policy dialogue meetings planned which reflects the ambition to improve sectoral coordination. It is questionable whether this large number of policy dialogues would have been practical given the challenges that government institutions face regarding staff numbers and budgets. However, it does appear that both UNDP and REDD+ Secretariat allowed enough flexibility to adapt to changing circumstances. Output 1.4 seems to have been an appropriate entry point for mainstreaming REDD+ by targeting to increase the level of understanding among policy planners.
23. Output 1.5 targeted supporting the GoU through the REDD+ Secretariat to participate in international policy dialogue and bilateral meetings. This was a useful approach noting the increasing pressure on national governments to mobilize resources to implement national REDD+ strategies. Participation in international dialogue is important to raise awareness and seek support for REDD+ efforts and the launching of the draft NRS at COP 23 would have raised the global profile of REDD+ in Uganda.
24. **Outcome 2 (FAO):** A National Forest Monitoring System (NFMS) is designed and set up, with appropriate Measuring, Reporting and Verification (MRV) functions. This outcome added value to the development of the NFMS and MRV by providing additional funding and technical support through recruitment of both national and international experts to support the development of the NFMS. FAO has been instrumental in the delivery of outputs under this outcome with financial support from the FCPF, ADC, UN-REDD targeted support, and UNP. The Outcome will enable the GoU establish a full NFMS and an operational MRV system for REDD+ with appropriate IT infrastructure if the investment can be sustained.
25. From the R-PP perspective, it is necessary for the country to have the capacity for land use and land cover change monitoring, relevant data collection tools and systems as well as technical capacity to meet both domestic and international reporting requirements.
26. **Outcome 3 (UNEP):** A Subnational REDD+ implementation roadmap prepared and fed into the REDD+ national strategy development process. This Outcome was adjusted following the mid-term review as the original outcome read [revised from “Subnational implementation of the REDD+ national strategy is prepared and facilitated through an “integrated landscape management” approach, building on a comprehensive set of analytical work, engagement and capacity building of stakeholders, and early actions”]. REDD+ readiness work needs to build broad understanding of key factors for successful implementation especially land use and drivers of land use change, local community perspectives, and potential impact of elected strategy options, policies, and measures. Noting the global appetite for landscape level interventions to address deforestation, the analytical work that was proposed under Output 3.1 is essential in providing relevant data, analysis and synthesis for policies, laws, and regulations in relation to REDD+. Efforts to establish a criterion for selecting representative landscape would enable a better understanding how to design and implement emission reductions programs.
27. The request by the government for preparation of Forest Accounts and a policy simulation tool is strategic and one that would offer an important basis for policy discussions and value-based fiscal allocation. Present systems and GDP calculation do not capture invisible values such that natural capital degradation costs are not accounted for. Forest

accounts can be useful for analysing trade-offs, better inform development policy through improved sectoral planning and more equitable social allocations among other things. But generating forest accounts is a data driven exercise and there seems to be incomplete data based on general feedback that the output has only achieved partial objectives because of limited resources, data, and time.

28. It is noted that the purpose of the study was to analyse the economic value of Uganda's forest resources, and where possible, demonstrate some policy instruments that would alleviate pressure on these natural forest systems. It is out of the scope of this evaluation to critique the technical report but stakeholders in Kampala point to the fact that this is a valuable exercise that needs additional work beyond a prototype to make it more useful for policy. UN Environment has conducted several natural capital and natural resource valuation and accounting studies in various African countries since 2011, including Kenya, Gabon, Morocco, Cote d'Ivoire, Nigeria, and in this case, Uganda. The studies are intended to help countries to assess and appreciate the worth and full value of their natural capital and to monitor environmental degradation.
29. Output 3.2 focuses on effective engagement of forest dependent communities and special target groups. This output provides an important dimension for strengthening participation in REDD+ as well as an opportunity to use the influence of special interest groups. This evaluation agrees that dialogues with cultural and religious leaders on issues of REDD+ and climate change not only informed the REDD+ processes but raised awareness among these key stakeholders about REDD+ thus adding value and complementing the broader stakeholder engagement supported under the FCPF grant.
30. An additional set of analytical studies which provide insights into land use systems, temporal land use patterns, as well as the policy, legal and regulatory framework needed for the sub national REDD+ interventions are also part of Output 3.2.
31. Under Output 3.3, a subnational REDD+ implementation roadmap was planned with the intention to feed into the REDD+ national strategy development process. While this was the plan, the timing of undertaking the activity could have been better synchronized to effectively contribute to the strategy formulation process.
32. **Institutional setting and program size:** A pragmatic approach was taken to ensure the UNP fell under existing institutional arrangements with staff recruitment structured to complement and support the needs of the REDD+ Secretariat. The MWE is responsible for implementation of REDD+ working through the FSSD which is the National REDD+ Focal Point and REDD+ Secretariat. At the national policy level, the National Climate Change Advisory Committee (NCCAC) provides policy guidance and coordination enabling broader stakeholder participation and is comprised of representatives from key government and non-government institutions with significant mandate over climate change issues.
33. The NCCAC also steers the REDD+ process in Uganda including individual programs such as the UNP. A technical advisory National Technical Committee was formally appointed in June 2015 and holds regular meetings on various thematic issues supported by three Task Forces (i) Reference Level Task Force, (ii) Strategic Environmental and Social Assessment (SESA) / Consultation and Participation, and (iii) Policy. The UNP was established within this setting including the appointment of international and national technical advisors placed to work within the REDD+ Secretariat.
34. The institutional setting meant that the National REDD+ Focal point had the necessary oversight and decision-making regarding work plans and budget approval, expenditure, and implementation. This was particularly important in reduce duplication and unnecessary administrative burdens and this work effectively and continues to be the case.

35. The UNP is smaller (financially) compared to the general size of other UN-REDD programs in most countries. This was determined by examining the already existing financial support covering most of the core REDD+ readiness elements as well as the capacity of the country to absorb additional funds. On that basis, UN-REDD and the GoU agreed on a medium-size NP to mitigate low absorption risk and avoid the overburdening of the national REDD+ Secretariat and implementing institutions.
36. Some stakeholders argue that the country needed more financial support and that the GoU could have engaged more national stakeholders to contribute to the delivery of a larger program. There is also feedback from some stakeholders who believe broadening the institutional engagement could have increased the absorption capacity. For instance, there is a belief that the operational involvement as opposed to simple consultation of institutions such as National Forestry Resources Research Institute could increase the absorption capacity. While University of Makerere is involved and is the only university with forestry curriculum, perhaps there is an opportunity to engage other national tertiary institutions.
37. **Contribution to National Priorities:** In general, the overall national REDD+ program in Uganda supports a wide range of national and sectoral policies and initiatives aiming to address climate change. For instance, Uganda signed up to the Bonn Challenge<sup>9</sup> and pledged to restore 2.5million hectares of degraded and deforested land by 2030. In addition, Uganda has set a target of increasing national forest cover to 21 percent by 2030 from the 2013 baseline of 14 percent.
38. Uganda's Vision 2040 targets restoration of Uganda's forest cover from 15% to 24% by 2040 while the Second National Development Plan (2015/16-2020/21) (NDPII) targets to increase forest cover from 15% to 18% of the Uganda's land surface by 2021. The NDPII includes commitment to restore degraded natural forests in forest reserves and forests on private land, reduce pressure on forest cover and promote forestry-based industries and trade. The NDPII further targets increasing economic productivity of forest-incomes, building institutional capacity in forestry, restoring, and improving forest ecosystems.
39. It is noted that reversing the deforestation trend (of approximately 14% in 2013) to increase forest cover to 21% in 2030 is acknowledged as highly ambitious considering that 89.5% of the country's energy needs are currently met by charcoal and firewood. However, such an ambition is necessary to complement policy efforts towards the development of the electricity sector which is key to achieving the reduction in wood and charcoal burning necessary to reduce deforestation. The Uganda Green Growth Development Strategy (UGGDS 2017/18 –2029/30) aims to ensure that the goals of the Uganda Vision 2040 and the NDPII 2015/16-2019/20 are attained in a sustainable manner with one of the focus areas being natural capital management and development which focuses on tourism development, sustainable forestry, wetlands and optimal water resources management.
40. With these ambitious targets, REDD+ is an important option as the Ugandan economy is highly depended on natural resources, making the country vulnerable to the impacts of climate change. Furthermore, at the time of designing the UNP, considerations were made on how REDD+ would contribute to the 2002 National Forestry Policy and the 2011 draft National Forest Plan which provided the broad visions for the forest sector. The reflection in the NDC shows the significant value mitigation measures such as REDD+ are expected to contribute to the low emission economic development. The GoU views the greatest mitigation potential to be in the land use, land-use change and forestry sectors.
41. The proposed REDD+ activities will contribute to the overall policy goal of the NF Policy, i.e. an integrated forest sector that achieves sustainable increases in the economic, social,

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<sup>9</sup> The Bonn Challenge is a global effort intended to restore 150million hectares of the world's deforested and degraded land by 2020 and 350million hectares by 2030

and environmental benefits from forests and trees for all, especially the poor and vulnerable. The REDD+ activities will also add value to ongoing forestry programs in the following areas: baseline information and inventory, sustainable management of forest resources, enhancing incomes from forestry resources management, and promotion of stakeholder participation in forestry resources development and management.

42. At the broader level, there are questions of just how well REDD+ can address some of the more fundamental issues facing the forestry sector such as governance. Various stakeholders brought up this issue during the country visit pointing out that every opportunity and program should be taken to support the improvement of forestry sector governance. Forestry sector governance refers to the ways in which officials and institutions (both formal and informal) acquire and exercise authority in the management of the resources of the sector to sustain and improve the welfare and quality of life for those whose livelihoods depend on the sector. The analysis of drivers and underlying causes of deforestation and forest degradation as already noted, are multi-sectoral hence addressing sectoral governance issues will require a multi-pronged approach. The design of the UNP Outcomes are part of a broad suite of opportunities that could contribute to addressing forest sector governance challenges but there is a general belief that broader and meaningful political support and regulatory reform is necessary.

### 3.2 Relevance

Table 3-4: Summary of Relevance Ratings

Outcome	Rating
Overall Rating for Relevance	R
Outcome 1	R
Outcome 2	R
Outcome 3	R

43. The GoU sees significant value in REDD+ and the UN-REDD support is viewed in the same manner. The Minister of State for Environment reiterated the significant challenges Uganda faces to reverse the devastating effects of forest loss arising from various drivers and underlying causes. The R-PP components target enabling Uganda to achieve REDD+ readiness for addressing the critical drivers and underlying causes of deforestation and forest degradation. The key drivers of deforestation and forest degradation in Uganda are: i) expansion of commercial and subsistence agricultural into forest lands and bush lands; ii) unsustainable harvesting of tree products, mainly for charcoal, firewood and timber; iii) expanding urban and rural human settlements and impacts of refugees; iv) free-grazing livestock; v) wild fires; vi) artisanal mining operations; and vii) oil exploration activities.
44. The underlying causes are symptoms of underlying socio-economic factors including; i) high rates of population growth and ii) levels of economic performance resulting in high dependence on subsistence agriculture, natural resources and biomass energy as well as competing economic returns from land that do not favour long-term investments such as forestry. Other underlying causes include: i) weak forest governance manifested in weak forest management, planning and regulation; ii) weak policy implementation; iii) climate change effects; and iv) land tenure systems.
45. The relevance of the UNP is expressed by all stakeholders interviewed - first for increasing the general discourse on climate change and secondly for increasing awareness on the challenges around reducing the high rate of deforestation while providing alternative livelihood options for local communities. Thirdly, while most stakeholders readily acknowledge the policy weakness, most find it difficult to articulate how to resolve the policy issue because of the low intersectoral coordination and integration. The combined



support of the UNP, FCPF grant, ADC, and the government's own efforts through REDD+ are crosscutting and broad in nature therefore are viewed as an opportunity for identifying cross-sector policy failures, build capacity, governance, and institutional framework.

46. The relevance of the REDD+ in Uganda is further illustrated by its inclusion in the country's I(NDC) submission to the UNFCCC in 2015, the endorsed of the NRS by the 28-member NCCAC and subsequent adoption by the GoU. The endorsement by the NCCAC with its broad representation is an important proxy for measuring the general relevance of REDD+ in Uganda and in turn, shared ownership of the programs being implemented including the UNP. However, while this may reflect shared ownership, such a reflection would need to be validated with specific actions such as mainstreaming of intervention principles in business plans and improved sectoral coordination to address policy conflicts. This aspect is discussed further in Section 4.5.

## 4 RESULTS AND CONTRIBUTION TO STATED OBJECTIVES

### 4.1 Delivery of Outputs

47. For the evaluation, there are several issues to be considered to provide objective assessments of the delivery of outputs. The UNP contributed to the development of the NRS along with contributions from the GoU, FCPF, and ADC hence in some cases direct attribution is not straightforward. Table 4-3 in Section 4.3 helps to outline the budget allocation and contribution by development partners. In many cases REDD+ strategies are developed in stages as the country determines the practical implications of proposed options and intervention measures. Here, the UN agencies are credited for their normative support in the R-PP thematic areas.
48. During the field mission and in the inception meeting, there was a discussion on the quality of the NRS relating to completeness and coverage of the proposed strategy options and intervention measures. As it is not practical within the evaluation scope, this evaluator assumes that a strategy document that has been endorsed by the government has met the requirements and expectations of the government. However, this evaluation also acknowledges the feedback from some stakeholders that what might be accepted and endorsed by a government in some cases might differ from the ambitions of the development partners and some stakeholders. This aspect is further elaborated under Section 4.5 (Sustainability and Up-scaling).
49. The UNP provided up to \$600,000 towards outputs that contributed to the development of the NRS including extensive stakeholder engagement at both national and subnational level with technical support from UNDP and this is well acknowledged by the GoU. This contribution resulted in the development of a draft NRS that was launched at COP23 in 2017. The preparation of the NRS was led by the REDD+ Secretariat working with a team of UNDP international consultants. Figure 5-1 in Section 5.1 outlines the project implementation structure which reflects the level of ownership and value of REDD+ development in the country. There is strong national support based on feedback from a sample of stakeholders interviewed during the evaluation mission. Senior government officials including a Minister were interviewed and reiterated the importance of broad consultation and effective process. There was also demonstrable stakeholder engagement and consultation during the development of the NRS and supporting analytical outputs.
50. Generally, there was collaboration and coordination between FCPF, UN-REDD, and ADC with several joint missions constantly re-enforcing the need for more coordination and creating synergies and sequencing activities to enhance quality of the outputs and avoid overlaps. Teams agreed to field joint supervision missions, share workplans, and emphasized that REDD+ Secretariat staff should work in an integrated manner to deliver a national REDD+ program without consideration for source of contracts or funding. The in-country presence of both UNDP and FAO was important for facilitating coordination with the REDD+ Secretariat. UNEP on the other hand collaborated with IUCN to deliver its outputs and this also worked well. Analysis of individual outputs is discussed under Section 4.2.
51. The delivery of outputs was satisfactory. The effectiveness of delivery of outputs is described in the next sections under each output.

## 4.2 Effectiveness

Table 4-1: Rating for Effectiveness

Outcome	Rating
Overall Rating for Effectiveness	<b>S</b>
Outcome 1	S
Outcome 2	S
Outcome 3	S

52. In many respects the UNP has been effective even though there are areas that could have been implemented more effectively. The implementation of the UNP improved over time with necessary adjustment or adaptive management. At the mid-term review stage in November 2016 the implementation was reported as highly effective but with medium efficiency.
53. The evaluator observed a much greater appetite among stakeholders for broadening REDD+ and a push for the government to increase commitment to environment and climate change mitigation by increasing the annual fiscal budget allocation. In general, the Evaluator's view is that the effectiveness of the implementation of UNP is satisfactory. However, there are a few key aspects to point out for encouraging the GoU to be cognisant of the criticality in relation to future implementation and resource mobilisation (both national and international). In assessing the effectiveness of the UNP, this evaluation considers materiality and underlying causes of ineffectiveness where it is observed. The effectiveness of the UNP is a result of the combined effort of both the UN agencies and the government's ability and responsiveness to agreed program of work. More so in this case, there were critical interdependencies between UNP and FCPF program implementation. Causes of failure to achieve certain objectives or outputs can be categorized as structural causes, implementation traps, or knowledge/scope issues.

### 4.2.1 Outcome 1 Achievements

54. As noted in the assessment of the program design, there was a level of ambition towards significant engagement in policy dialogue. This resulted in targeting to deliver a considerable number of policy level meetings under Output 1 (targeted 25 policy level meetings in 2016 and 2017 subsequently delivering 7 in 2016 and 10 in 2017). However, it is noted that the deficit in the number of policy dialogues is a result of the adjustments that were made to combine some of the meeting groups such as the Parliamentary Forum on Climate Change, Standing Committee on Agriculture, Standing Committee on Natural Resources, etc. which were merged into one large meeting to maximize on the GoU availability for dialogues. In a way this is reasonable adapting to circumstances which is always necessary as it is often challenging to gather politicians and senior decision makers regularly and both UNDP and the GOU can be credited for the flexibility.
55. However, it is still questionable whether one or a handful of policy dialogues are sufficient to create broad awareness among all relevant policy experts. This is an example of an implementation trap where it can be challenging to motivate policy makers to dedicate sufficient time to participate in such dialogues where tangible policy benefits or immediate impacts are not yet evident. However, it is more likely that engaging with policy makers in the future will become easier as the REDD+ framework elaborates key strategy options interventions with tangible livelihoods and policy measures with clearer outcomes and impacts. This is something that the NCCAC, REDD+ Secretariat, and the GoU in general could take note of by continuing to push for more policy dialogue.

56. There were delays in recruiting the international technical advisor until midway through the implementation of the UNP components and this potentially had ripple effects on the ability of the UNP to meet some of its targets. This is a structural institutional issue that large institutions such as UNDP face. However, despite these delays, both UNDP and the Secretariat made every effort to progress work. Information briefs were produced from meeting and published online. The draft NRS was prepared and launched at a COP23 side event and this is an important milestone achievement for the country. While the division of UNP activities became somewhat complex because of the interdependencies with the FCPF activities, UNDP played its coordination role reasonably well, but the country office is encouraged to expedite recruitment of staff to avoid program delays.
57. In designing outputs, it is worth considering the extent to which the indicators are “SMART” (specific, measurable, achievable, relevant, and time-bound). While it is sometimes necessary to use quantitative measures to gauge the utility of an output, some measures may not have the desired effect. Output 1.3 target states “The REDD+ strategy is ranked “satisfactory” by 85% of stakeholders”. In this instance “stakeholders” is a general term that could refer to a wide range of people, institutions with interest or affected by the intentions of the NRS. Perhaps assessing how well cross-sectoral institutions commit to adopting the options and interventions proposed in the NRS would give a good measure of the strength and potential impact of the NRS. In its current form, the NRS contains strategy options that cut across multiple sectors. As such, there is anticipation that mainstreaming of REDD+ interventions will occur across and within sector ministries and institutions at both national and sub-national level through inclusion in annual workplans, business plans and strategies.
58. Output 1.4 was designed to increase the level of understanding of the NRS by planning experts, but it seems the target formulation of “the integrated scenario towards 2040” was not undertaken and the resources were used to support the knowledge management consultant. Plans to hold joint events with planning experts were also changed to support the inception meeting for the macro-economic study. While the alternative activities and support are still important, engaging early with policy makers and planning experts increases the long-term impact of REDD+ actions. This is an aspect relevant for the GoU to increase efforts to encourage relevant policy makers to increase participation and to mainstream REDD+ in their own work domains.
59. The achievement of outputs under Outcome 1 are **satisfactory**.

#### 4.2.2 Outcome 2 Achievements

60. The progress with the NFMS is commendable and there is constant reference that Uganda now has one of the more advanced NFMS in the region. The progress with this component of the R-PP is a result of the support provided by FAO with funding from the FCPF, UNP, ADC as well as the GoU. The delivery arrangement is also important and demonstrates how well the UN agencies were able to use normative expertise to deliver critical components of the Uganda REDD+. The technical support from FAO and of course the effort of the NFA team enabled Uganda to finalize a national forest definition using a robust process that involved the methodological Task-Force and National Technical Committee with further endorsement by NCCAC in November 2016. Uganda has since submitted a Forest Reference Level (FRL) to the UNFCCC in January 2017 with a plan in place to account for omitted pools. Constructing the FRL entailed developing emission factors (EF) of which 3 out of 4 identified forest strata and now have EFs with plans for improvement in place for other strata.
61. Uganda developed a time series data for the year 1990, 2000, 2005 and 2015 including accuracy assessment and identified hot spots and trends of land conversions over the

last 25 years. This information was instrumental in the development of the NRS and would also be useful for designing intervention programs going forward.

62. The achievement of these outputs is attributable to the continued support and timely recruitment of technical national and international staff with relevant expertise including geospatial systems, data collection, management, and maintenance. Reports reviewed suggest that efforts are being made to establish data sharing mechanisms which is an important aspect for increasing transparency and evidence-based policy-making when decision-makers use authoritative data. The delivery of outputs under Outcome 2 was relatively effective and this extends to the capacity building. It is noted that the NFA now has the capacity to update the national land cover dataset from 10- year interval to 5 - year interval and is to reduce further to two years from 2015 to 2017.
63. It is noted that NFA staff and some students participated in training on the use of automated (mobile) system for capturing field data based on OpenForis. This is important as part of ongoing capacity building while the improvement in field data capture such as reducing or eliminating the use of paper forms will enhance data quality and rapid reporting capacity.
64. As a result of the joint support from the development partners, the GoU launched the National GHG-I system with LULUCF recognized as a key category. In addition, the establishment of the MRV platform comprised of key data providers of forest and other land category and is an important step towards broad data sharing and provision. The engagement with such a wide range of stakeholders is encouraging and will be beneficial for a wide range of sectors involved in land use. These stakeholders include the Uganda Wildlife Authority (UWA), Uganda National Meteorological Authority (UNMA), Wildlife Conservation Society (WCS), Uganda Timber Growers (UTGA), Ministry of Energy and Mineral Development (MEMD), District Forest Services (DFS) under Local government, Uganda Bureau of Statistics (UBOS), Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) the National Agricultural Research Organisation (NARO).
65. The Evaluator views Outcome 2 as being **highly satisfactory**.

#### 4.2.3 Outcome 3 Achievements

66. Outcome 3 was implemented under UNEP oversight in collaboration with IUCN. Several adjustments were made to Outcome 3 following the mid-term review and this is effective adaptive programme implementation. The original outcome read *[Subnational implementation of the REDD+ national strategy is prepared and facilitated through an "integrated landscape management" approach, building on a comprehensive set of analytical work, engagement and capacity building of stakeholders, and early actions]*. The adjusted Outcome read *[A Subnational REDD+ implementation roadmap prepared and fed into the REDD+ national strategy development process]*.
67. The main observation is that the selected Outputs, which were designed at the request of the GoU are quite strategic in nature. A set of analytical studies which provide an insight into land use systems, temporal land use patterns, as well as the Policy, legal and regulatory framework needed for the sub national REDD+ interventions were completed.
68. With regards to Output 3.1, it is noted that the assessment did further analysis of the NFA time series data, and used data sets on irrigation, livestock intensity, population among others from other Ministries to produce the land use systems. This work was done collaboratively with experts including two members of the NFA GIS unit. As one of the objectives of the NRS is to reduce deforestation in the future, the prediction of future land use systems is therefore important and useful for supporting policy discussions. In addition, at trajectory of landscape level (based on the Forest

Landscape Restoration zonation) land use systems were produced. This was a reasonably effective process but of course there is a caveat that some of the work still needs further refinement. For instance, there was a plan to include several other parameters such as soil characteristics, and crop types in determining land use systems but the available data sets were either incomplete (in terms of geographical coverage) or could not be easily integrated with the NFA data sets.

69. Within the limits of the available budget, effective engagement of sub-national stakeholders was undertaken. However, the UNEP component focused on the gaps identified under the FCPF package of strengthening participatory structures, to ensure that cultural, religious and forest dependent people are adequately informed and can participate. This work focused on establishing and building capacity of platforms for engaging forest dependent people. A guide for engaging forest-dependent communities and private/community forest owners in REDD+ initiatives was also developed as well as communication materials for raising awareness about REDD+ to supplement those that were developed with FCPF support. Targeting the establishment of platforms among indigenous forest dependent people was deemed necessary given their marginalised status and as way to provide them their own space in which they could adequately contribute to REDD+ processes.
70. A roadmap for subsequent implementation of the NRS at sub-national level or landscape level was prepared. The roadmap provides a series of important recommendations for the GoU towards mainstreaming REDD+ and particularly identifies key gaps that may limit success at the sub-national level. The analytical work on which this roadmap is based, has substantial data that can support the decision-making process as the government charts a way forward towards results-based payments.
71. The work capturing the contribution of forests to the national economy beyond the timber and firewood using National Forest Accounts is important but at this point it should be treated as an entry point to preparing a full framework. The process used to prepare the prototype was effective enough to establish necessary collaboration with the Uganda Bureau of Statistics. UNEP and its partner IUCN acknowledge that the outputs need further work to fully show the value of the forests to the economy and potential for climate change mitigation. These accounts could be an important basis for informed policy making in the forestry sector moving forward and a valuable tool for the country's Forest Investments Program, Uganda Green Growth Strategy, and other priority programs.
72. The evaluation rates the achievements of Outcome 3 as **satisfactory**.

### 4.3 Efficiency

Table 4-2: Rating for Efficiency

Outcome	Rating
Overall rating for efficiency	<b>MS</b>
Outcome 1	MS
Outcome 2	S
Outcome 3	MS

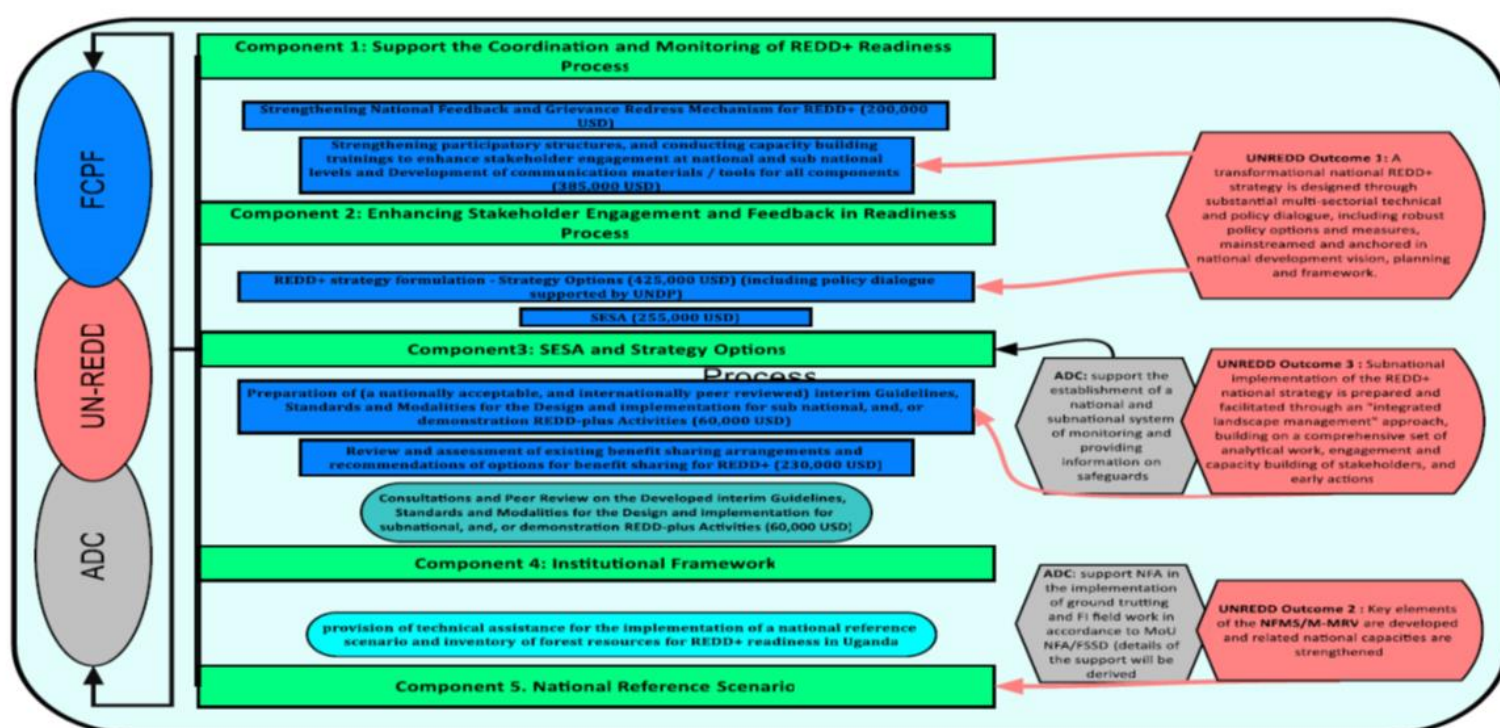
73. The overall efficiency of the UNP implementation arises from the structure set by the GoU and this is best illustrated by the Program mapping tool that was presented as Annex 10 in the FCPF Grant mid-term review (Figure 4-1) below. By ensuring synergies and complementarity between the support from the different development partners, potential duplication and redundancies were eliminated. REDD+ is one of many programs the GoU is pursuing to address climate change and there are observable



efforts to ensure coordination among sectors to improve efficiency, complementarity, and effective implementation in partnership with development partners. It is also encouraging to note that development partners recognize the need to ensure internal coordination of support programs. For example, in September 2016 UNDP held its 3rd Joint Board Meeting for three projects that it is implementing (Strengthening Climate Information and Early Warning Systems-SCIEWS, Low Emissions Capacity Building-LECB, and REDD+) in partnership with MWE. This meeting aimed to

- Increase information sharing and cross learning amongst the projects;
- To strengthen learning among the projects and;
- Reduce on time and cost of partners in meetings

Figure 4-1 Program Mapping Tool (FCPF MTR)



74. The REDD+ Secretariat also set up a single M&E framework covering financing from all development partners as outlined in Table 4-3 below. The budget figures may be outdated since the government has received additional funding under the FCPF readiness support and it is not accounted for in the table. At the operational level, the implementation of the UNP was well planned with detailed annual work plans and budgets shared with the World Bank team and jointly approved by the UN agencies and GoU.

Table 4-3 Budgets allocated by supporting development partners

R-PP Component	Main activity	FCPF	ADC	UNREDD	TOTAL
Organize and Consult	National Readiness Management Arrangements Activities	414,000	200000	359,000	973,000
	REDD+ Consultation and Participation	235,000	100000	147000	482,000
	Awareness and Communication	150,000	0	0	150,000

	REDD+ Conflict Resolution and Grievances Management System (CRGMS)	200,000	0	0	200,000
	<b>SUB-TOTAL</b>	<b>999,000</b>	<b>300,000</b>	<b>506,000</b>	<b>1,805,000</b>
<b>Prepare REDD+ Strategy</b>	Assessment of Land Use, Forest Policy & Governance	100,000	0	205,000	305,000
	REDD+ Strategy Options	100,000	0	330,000	430,000
	REDD+ Implementation Framework	355,000	0	0	355,000
	Social and Environmental Impacts (ESMF)	530,000	0	0	530,000
	<b>SUB-TOTAL</b>	<b>1,085,000</b>	<b>0</b>	<b>535,000</b>	<b>1,620,000</b>
<b>Emission Ref Scenario</b>	Develop Reference level	1,040,000		0	1,040,000
	<b>SUB-TOTAL</b>	<b>1,040,000</b>	<b>0</b>	<b>0</b>	<b>1,040,000</b>
<b>NFMS - Measurement, Verification and Reporting (MRV)</b>	Emissions Removal	0	375,000	640,000	1,015,000
	Multiple benefits and other impacts	150,000	150,000		150,000
	<b>SUB-TOTAL</b>	<b>0</b>	<b>525,000</b>	<b>640,000</b>	<b>1,165,000</b>
<b>M&amp;E Framework</b>	Design and apply M&E framework	60,000	0	0	60,000
	<b>SUB-TOTAL</b>	<b>60,000</b>	<b>0</b>	<b>0</b>	<b>60,000</b>
	Other	450,000	65,979	0	515,979
	<b>Sub-TOTAL</b>	<b>450,000</b>	<b>65,979</b>	<b>0</b>	<b>515,979</b>
	<b>TOTAL</b>	<b>3,634,000</b>	<b>890,979</b>	<b>1,681,000</b>	<b>5,690,000</b>

75. The allocation of funds across the different components is based on the analytical work undertaken during design therefore this evaluation provides a subjective perspective on value for money. There is no global benchmark or guidance as to what or how much is needed to implement each of the components of REDD+ Readiness. Instead, country circumstances dictate what should be allocated and this was done during the R-PP formulation which came up with an overall figure. However, some anecdotal information exists such as the study by Simula (2010) into global REDD+ financing and its funding sources based on data from the FCPF and UN-REDD. The study showed variations between financial needs of countries for any given readiness component and concluded that this was related to variables such as country size, prevailing drivers of deforestation and forest degradation, ability of a country to contribute to mitigation efforts, existing national capacities, and previous investments in REDD+.
76. However, the early REDD+ readiness proposals did not always offer reliable estimates of financial needs and tended to exclude transaction costs. Among the REDD+ readiness components, the monitoring system (MRV) claimed the single largest portion of country budgets averaging 28% of the total financing needs. From a contributory point of view, it would appear close to 37% of the UNP budget was apportioned to Outcome 2 (NFMS incorporating MRV) thus suggesting that this was deemed a priority area. About 29% was allocated for contributing to the preparation of the NRS and 33% towards the R-PP Component 1 (Readiness management arrangements). This makes business sense since a national monitoring system is a basic requirement that would improve and contribute to evidence-based policy formulation.
77. With regards to administrative costs, the UN-REDD Collaborative Programme utilizes the 'pass-through' modality for fund management. Participating UN organisations, in



this case FAO, UNDP and UNEP, assume full programmatic and financial accountability for the funds received from the Administrative Agent and usually apportion 7% of the funding to administration overhead. For the UNP, a micro-assessment of the MWE was conducted in March 2016<sup>10</sup> serving two objectives;

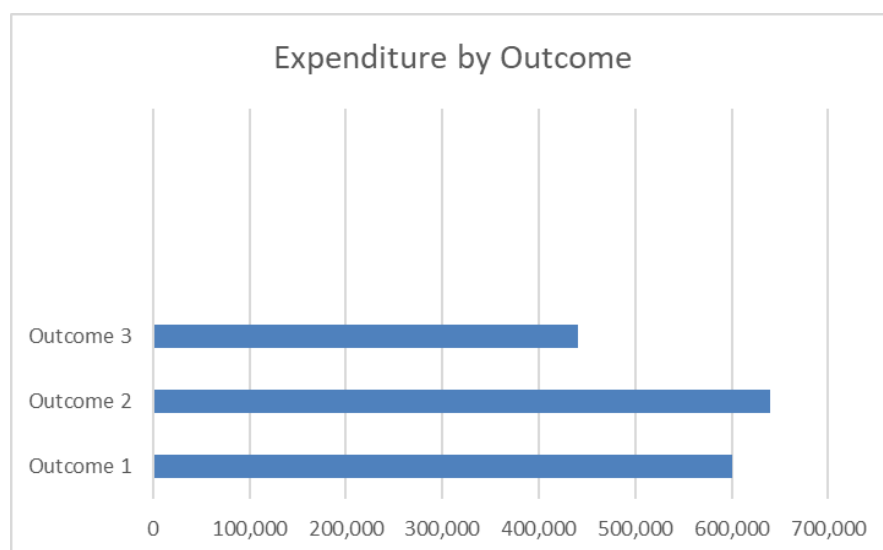
- Capacity Development Objectives: The assessment was intended to help UNDP and other UN agencies to identify strengths and weakness in system and the financial management practices of individual implementing partners, identify areas for capacity development.
- Financial management objectives: the assessment was intended to help agencies identify the most suitable resource transfer modality and procedures, and scale of assurance activities to be used with each implementing partner.

78. Following the assessment, noting the gaps in the MWE budgeting systems, there was agreement and a government request for UN agencies to handle the financial disbursements but of course all budgets spending and workplans were jointly signed off by the GoU (MWE) at Permanent Secretary level and UN agencies at Country Director level. The Evaluator believes REDD+ funds management is one area that may continue to be challenging for REDD+ countries in positioning themselves for results-based payments. Efficiencies will need to be established with regards to benefit sharing frameworks to reduce transaction costs and ensure high levels of transparency and good governance.
79. But on the part of the GoU, when issues of weak financial governance and non-compliance are raised, it reduces confidence amongst development and funding agencies and it could be an important determinant for access to climate change funds in the future. Unless there is unquestionable assurance and safeguard measures in place and actually implemented it makes it difficult for UN agencies and others to take the risk to transfer funds to national institutions. Similarly, at the inception phase of a program, safeguards measure could be established to improve financial management and through capacity building, regular auditing measures and reporting. This, no doubt creates a degree of bureaucracy but unless there is general agreement, financial transactions will always create challenges.
80. The expediency of execution of activities is mixed. Both the GoU and UN agencies acknowledge the initial delays to sign off the program document as well as significant delays to recruit technical staff. A no-cost extension, although for a short period of 5 months, was necessary to complete the UNP planned activities. However, it is not surprising given the complexity of ensuring the UNP was properly positioned to complement the FCPF and ADC support avoiding duplication and conflicts. The delivery of UNP outputs at times depended on deliverables under the FCPF grant support. For instance, some outputs under Outcome 3 required data from the NFA. The Uganda UNDP country office could also be proactive in expediting recruitment processes as it was highlighted that the bureaucratic process creates delays.
81. Figure 4-2 below illustrates the allocation of UNP funds by outcome. As already noted, Outcome 2 received the largest among and the evaluator believes this makes business sense.

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<sup>10</sup> Micro-Assessment of the Ministry of Water and Environment: Team and Company Certified Accountants (22 March 2016)

Figure 4-2: Funds Distribution by Outcome (USD)



82. On the overall, the efficiency of the UNP implementation was “**moderately satisfactory**”.

#### 4.4 Cross cutting issues: Gender, Capacity Development, Normative Products

Table 4-4: Summary Ratings for Cross-cutting issues

Cross cutting issues	Rating
Overall rating for Cross-cutting issues	<b>MS</b>
Gender	MS
Capacity development	S
Normative Products	S

##### 4.4.1 Gender

83. The UNFCCC Cancun Agreements require developing country Parties to integrate gender considerations in the design and implementation of REDD+ national strategies and programmes. The view is that gender mainstreaming can help improve the efficiency, efficacy, and long-term sustainability of the REDD+.
84. The gender aspect was not explicitly outlined in the UNP design but noting the complementary nature of the design, the gender aspects are inherent in the implementation of the REDD+ readiness process and specifically dealt with in the safeguards framework development and drawing on the thematic taskforces under the FCPF grant supported work. With the current discussions on developing landscape emission reductions programs, the gender issues will be addressed. It is noted that the regional dialogues with religious and cultural leaders of Mt Elgon, Karamoja and Northern Uganda highlight the need to intentionally take measures to ensure inclusion of women and youth. Although gender aspects were not explicitly indicated in the UNP design document, on the broader scope, UNDP Uganda focuses on gender equality and women’s empowerment by integrating it into its key programme areas on Sustainable Inclusive Economic Development as well as Inclusive and Effective Governance.
85. There is feedback that the percentage of women participating in the decision-making in REDD+ remains low and efforts need to be made to increase the overall participation of women. This scenario is observed elsewhere in UN-REDD countries with some of

the stakeholders for example in Cambodia, Zambia, and Tanzania, stating that gender mainstreaming under REDD+ is not well understood. There is still need for hands-on training with concrete tools and examples on how to mainstream gender for REDD+ and include gender-sensitive indicators.

#### 4.4.2 Capacity development

86. The Evaluator holds the view that there are two perspectives to capacity development. First is the capacity to implement the UNP and secondly the capacity to implement REDD+ post the UNP putting into consideration anticipated and additional work to be completed under the remaining FCPF grant support. Considering these two aspects, the list below is a summary outline of what constitute REDD+ capacity:
  - a. ***Technical knowledge and understanding of the constituent components of REDD+ and how they fit into the national agenda at national and sub-national levels.*** The interviews, consultation and evaluation validation with stakeholders suggests there is increased general understanding of REDD+ as a direct result of the joint support of the World Bank FCPF grant, ADC, UNP and the contribution of the GoU.
  - b. ***Understanding of benefits and risks associated with REDD+ at national and sub-national levels to ensure coherent implementation in future.*** The ability to understand REDD+ is a function of continued engagement and knowledge transfer. There is feedback that the understanding of REDD+ is variable with lesser understanding at sub-national level. However, planned work involving preparation of landscape level emission reductions programmes is likely to increase this understanding as communities will be engaged in designing the interventions frameworks.
  - c. ***The availability of staff with relevant technical knowledge and skills on REDD+, especially in key institutions responsible for REDD+ implementation is also important, and the capacity development must consider long term institutional requirements.*** The REDD+ Secretariat is under-staffed and there is general feedback that institutions such as NFA and FSSD are also under-resourced.
  - d. ***Infrastructure, coordination, and financial resources to set up national and sub-national systems for systematic land monitoring, forest inventory, GHG accounting, and establishing FREL/REL within the context of clear definition of agents and drivers of deforestation.*** Discussed under Sustainability and upscaling in more detail.
  - e. ***Public awareness and engagement in monitoring requirements and the role of different stakeholders.*** Work has been ongoing to create broad public awareness and the necessary systems and structure for continued awareness is in place, but this needs to be a continuous process.
  - f. ***Political and community champions to drive and motivate the constituency.*** There is clearly high level and political recognition of the impact of climate change on the livelihoods of the general population and the need for concrete intervention to address mitigation and adaptation capacity and resilience.
87. The successful completion of the UNP denotes that there is capacity for implementation at the programme level but of course being cognisant of the identified challenges and areas that would need improvement in the future such as increasing staff levels in NFA and REDD+ Secretariat if it continues as an institution in the next phase. Beyond the UNP, the capacity for implementing REDD+ becomes a subject of the effectiveness and impact of the UNP. At the programme level, the UNP implementation team was composed of national and international staff. A selection of national staff with forestry

and environmental qualifications have accumulated significant knowledge and understanding of REDD+ and climate change in general. However, it appears that government staff are overcommitted.

88. The capacity of relevant national institutions and some stakeholders is stronger to some extent because of the UNP. There was a combination of methods used for training and engagement, and awareness including through UN-REDD South-to-South knowledge exchange; policy dialogues with high level groups such as Parliamentarian Forum on Climate Change, Standing Committee on Agriculture, Standing Committee on Natural Resources; UN-REDD Academy training; participation in UNFCCC COP side events to learn more about how other countries are implementing REDD+. However, regarding policy dialogues and workshop-based training such as the REDD+ Academy, some participants point out that there is often not enough time to learn and understand basic issues about REDD+, unless there are on-going follow-up workshops and seminars and learning by doing. It is noted that the REDD+ Academy was held with the overall objective being to build capacity and understanding among key stakeholders on REDD+ implementation through the development of a group of trained trainers and provision of training resources on REDD+ for Uganda. However, a long-term plan needs to be prepared to ensure the trainers retain the knowledge from the Academy and can provide ongoing training at sub-national level.
89. Under Outcome 3, the UNP established and built capacity of platforms for engaging forest dependent people including designing a guide for engaging forest dependent communities and private/community forest owners in REDD+ initiatives. A set of communication materials for raising awareness about REDD+ among forest dependent communities were developed to supplement those that were developed with FCPF support. Dialogues with cultural and religious leaders on issues of REDD+ and climate change were also held but did not only inform them on the REDD+ processes but raised awareness among these key stakeholders about REDD+.
90. The UN agencies capacity development strategy is imbedded in the programme design and based on the assumption that national institutions will take ownership of the process and outputs post-programme implementation. Discussions with national staff and stakeholders point to the need for further technical support to operationalise the NRS – particularly the highly technical components. To increase sustainability, capacity building now needs to go beyond individuals and link the leadership and systems that the individuals concerned are accountable for and this should be the responsibility of the GoU. Capacity building should focus on functional capacities to engage with stakeholders, to formulate policies and strategies, to manage, budget and implement effectively with appropriate monitoring and evaluation frameworks.
91. The formulation and implementation of policies rests with the GoU and relevant institutions – but more so, it comes down to effective mainstreaming of the climate change response strategies including the NRS across sectors (agriculture, forestry, energy, transport, mining etc.). There are sentiments that cross-sectoral understanding of policy conflicts need greater political commitment and champions to ensure environmental considerations are imbedded in every policy decision. This evaluation highlights and reiterates several areas that still need further work which are highlighted in various other documents including the UNP mid-term review, the Roadmap prepared under Outcome 3, and the FCPF grant mid-term review. Some aspects are more fundamental and require a cultural shift, while others require transformative managerial and political commitment to enforce higher standards of governance. These aspects are outlined as part of the recommendations and lessons learned.

#### 4.4.3 *Normative products*

92. In accordance with the UN-REDD Framework Document, one of the two objectives of the UN-REDD Global Programme is to support the development of normative solutions and standardised approaches to REDD+. The UN agencies can be credited for bringing global issues to a national level and supporting the GoU take transformative measures to mainstream climate change into national development. The support with Outcome 2 is specifically important as it focuses on producing important data and analytics that can appropriately inform policy. Likewise, Outcome 3 outputs stimulate the necessary discussions, for instance, on real value of the forest sector to economic development even though further work is still required to fill the data gaps.
93. The GoU has at its disposal, a suite of guidance products from FAO on MRV, FRELs, NFMS and national forest inventory. Most of this guidance was well-applied in the implementation of the UNP and continues to be available through additional support. FAO's in-country presence through a GIS Technical Advisor and MRV expert also enables supportive day-to-day implementation and continuous knowledge transfer.
94. UNDP and FAO, in collaboration with the World Bank are continuing dialogue on the next steps following the completion of the REDD+ readiness process and there is encouraging discussions on options for resource mobilization to support implementation of the NRS.

#### 4.5 Sustainability and Up-scaling

Table 4-5: Ratings for Sustainability

Sustainability and Up-scaling	Rating
Overall rating for sustainability and up-scaling	L
Financial sustainability	ML
Institutional sustainability	L
Operational sustainability	ML
Up-scaling	L

##### 4.5.1 *Financial Sustainability*

95. The inclusion of REDD+ in the country's Green Growth Strategy and NDC is an important indication of the value and joint contribution of the UNP, FCPF, and ADC. REDD+ is one of the many mechanisms that Uganda intends to use to reduce its emissions by national development policies in the energy, forestry, agriculture, water, and other sectors.
96. The continuing environmental deterioration through unsustainable resource utilisation and rampant deforestation calls for stronger political, social, and financial commitment. The studies undertaken to estimate the value of the economic contribution of forest ecosystem services still require additional work and funding to determine the real value. Forest ecosystem services are not accounted for in Gross Domestic Product (GDP) - such as sediment retention and erosion control, ecotourism, pollination services, and carbon storage – have an important economic value that needs to be accounted in Uganda's GDP to enable value-based fiscal allocation. Discussions with senior government officials indicate that efforts are being made and there are considerations to allocate at least 3% of annual departmental budgets to issues related to the environment.

97. Indications of mainstreaming REDD+ are strong based on the articulation of the institutional framework and anticipated coordination mechanism. The NRS indicates that REDD+ will be overseen by the MWE functioning through the FSSD, NFA DWD and DWRM. The indication of the need for collaboration across sectors with UWA, MAAIF, MEMD represent a major step towards mainstreaming of REDD+. This is important for the future impact of the UNP. It is further noted that the government has already been formulating strategies for fund mobilization for subsequent implementation by looking at various climate investment options (FIP, Global Climate Funds, Bilateral agreements, national budget). Likewise, the current efforts to prepare sub-national emission reductions programs will also enable Uganda to access results-based payments which are becoming the preferred vehicle for achieving emission reductions.
98. The NRS development process indicates strong government ownership and leadership, deliberate stakeholder participation and detailed analytical work. From a sustainability point, the strategy is clear on the need to manage expectations on the benefits of REDD+ and the need to focus on practical solutions that it brings through integrated and participatory approaches. However, the sustainability of the outputs will depend on the adoption, operationalization, and impact of the UNP outputs at the institutional and community level. It will also depend on the ability of the country to follow through with the necessary policy reforms or improvements in law enforcement and mainstreaming of REDD+ across relevant sectors. The 8 strategic options outlined in the NRS illustrate how well the cross sectoral coordination and collaboration are valued. It is very encouraging to note that REDD+ has received significant political support and is well accommodated in the Macro-Economic Investment Plan, Mid-Term Expenditure Framework and Water and Environment Sector Investment Plan.
99. However, the role of the private sector in emission reductions perhaps remains somewhat underplayed but is a potential sector for financing emission reductions. The GoU could use the preparation of landscape interventions measure to include a strong component on harnessing private sector opportunities to contribute to both social development and forest restoration, climate smart agriculture and other measures that reduce pressure on forests. The private sector model is one that relies on the opportunity for reasonable return on investment and conducive business environment including strong governance and law enforcement.

#### 4.5.2 *Institutional Sustainability*

100. The institutional setup necessary for effective implementation of REDD+ in Uganda is in place but local level groundwork for subsequent participation in results-based payments systems under REDD+ still needs further work. As already highlighted in earlier sections, being REDD+ ready requires commitment on many fronts. For instance, implementing institutions need regular and predictable financial support from central government to be able to retain REDD+ programme support staff and sustain outputs from the UNP, and any other programmes.
101. It is of concern however, if the few government staff are already overcommitted and there are ceilings to annual budgets irrespective of changes in annual workplans and government institutions are not able to increase their staff numbers. Understanding that REDD+ readiness implementation arrangements are a form of a transition phase; some institutions may only be temporary while some evolve over time into semi- or permanent institutions. The permanent setting at the institutional level is there (e.g. ministries and departments, NFA, FSSP, NCCAC etc) but the future role of units such as the REDD+ Secretariat and the National Technical Committee and thematic working groups and respective staff is something that will require considerations as to how the capacity and expertise can be retained.

#### 4.5.3 Opportunities for Up-scaling

102. Since the UNP Outcomes are limited to national level strategic outputs and limited operational activities at subnational level, up-scaling is limited but the continuation under the FCPF readiness grant support should create the pathway for upscaling. Upscaling as of necessity becomes the responsibility of the GoU. The appetite for landscape application of REDD+ is growing rapidly mainly coming from the realisation that interventions need to be at broader scale across sectors as opposed to traditional small-scale projects. Depending on circumstance, the opportunities for upscaling could take the form of first sustaining existing projects beyond donor support and then focusing on driving private sector investment in deforestation free supply chains and low emissions land management, through a combination of say incubator/accelerators for green enterprises, improved environmental, social and governance standards and green landscapes. The study by IUCN under Outcome 3 provides a basis for landscape intervention prioritization and could enable the focus on a few selected high biodiversity and high carbon-intensive landscape under pressure from the identified drivers and agents of deforestation and forest degradation.
103. Also, the Roadmap developed under Outcome 3 offers important recommendations for the government to follow up. Some specific prescriptions for the implementation of REDD+ at sub-national level are listed below.

- 
- *Strengthen the Forestry Sector Support Department (FSSD)*
  - *Strengthen subnational institutional structures*
  - *Strengthen community institutions to enable them to secure their land and forest tenure rights*
  - *Prioritize NRS options and fast track implementation*
  - *Improve natural resources governance within the context of REDD+ and monitor compliance with the environment and social safeguards at the subnational and management unit levels*
-

## 4.6 Likelihood of Impact

104. The likelihood for impact is dependent on several key factors. There are wide ranging discussions focused on forestry sector transformation and financing mechanism. The UNP is only but one part of the many tools in use to develop a framework for sector transformation. However, there are important building blocks for effective forestry sector management that the GoU will need to consider. A few examples suggested by the World Bank include;

- 
- *Adequate legislative frameworks and law enforcement capacity*
  - *Sound sector policies conducive to competitive domestic and international trade*
  - *Sound institutional setup with a service delivery orientation*
  - *Leadership based on meritocracy and technical skills*
  - *Institutional oversight including an independent monitor*
  - *Transparent forest fiscal systems based on easy-to-track revenue flows*
- 

105. The ongoing discussions through REDD+ and the broader economic development agenda in Uganda seem to be well in line with identifying the entry points to each of these building blocks with varying degrees of progress and the Uganda Green Growth Strategy is one such process. As such, it suffices to mention that the impact of REDD+ will rely on the ability of the GoU to promote necessary ownership and decentralisation of implementation and focus on community driven development and beneficiary participation. This process needs to be supported with relevant checks and balances, political accountability, interface with the private sector and open participation by civil society and media. Along with the World Bank, several agencies, and NGOs (World Resources Institute, Global Witness, Transparency International and Chatham House for example) have begun developing forest governance monitoring tools that could be useful for Uganda. In any case, the GoU could readily take advantage of the currently relation and support by the World Bank on REDD+ and identify some key entry points for improving forestry sector governance.
106. The evaluation rates the UNP contribution to result in **significant likelihood for sustainability and impact**.



## 5 FACTORS AFFECTING PERFORMANCE

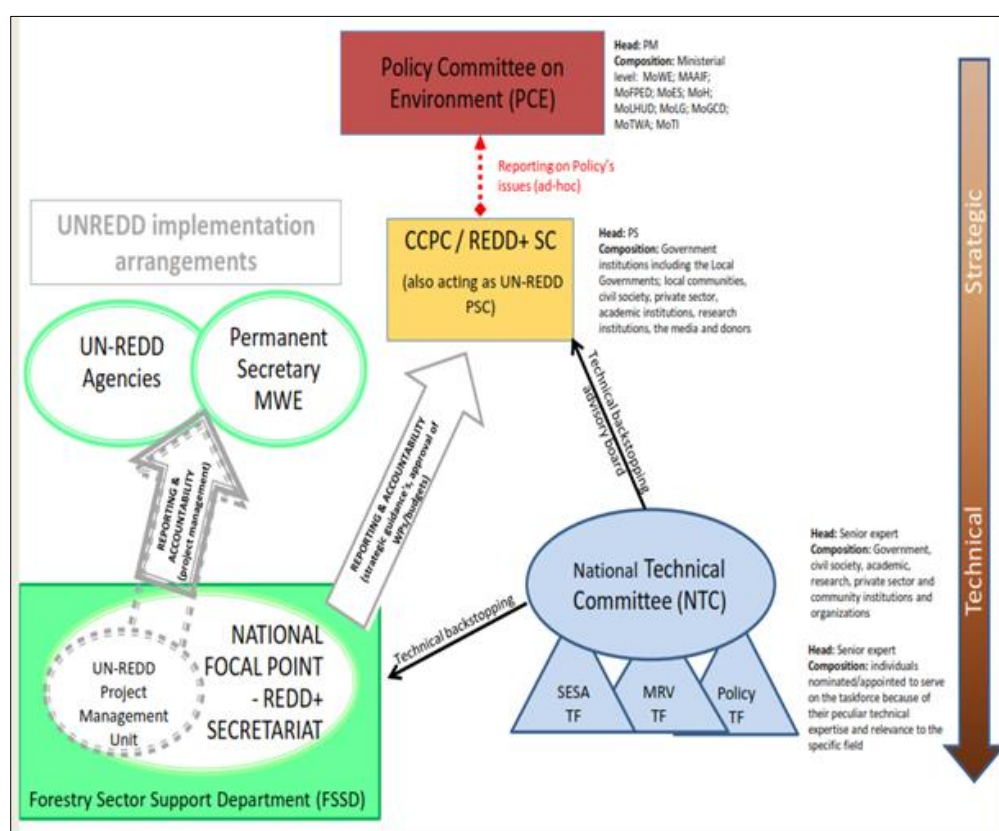
Table 5-1: Ratings for Programme Management and Coordination

Programme Management and Coordination	Rating
Overall Quality of Project implementation	S
Agency coordination	S
Project Supervision	MS

### 5.1 Programme Management and Coordination

107. The coordination of the UNP fitted in the overall REDD+ coordination framework illustrated in Figure 5-1.

Figure 5-1 Project Implementation Structure



108. The UNP mid-term review outlined issues related implementation and these were reiterated by several stakeholders during this evaluation. For instance, there is a limited number of Government Officers in the REDD+ Secretariat who are working full-time on the REDD+ work of coordinating FCPF, UN-REDD, ADC and Forest Investment Program (FIP) leading to work overload and delays in activities. Secondly, delays in delivery of R-PP products supported by the FCPF that were and are required for action under Outcome 1 and 3 of the UNP, implied that policy dialogues at national level and subnational level could not progress as planned. The work overload among the REDD+ Secretariat compromises the ability to provide timely review and provide feedback on work outputs submitted by consultants thus leading to further delays and was particularly the case with some of the analytical studies under the UNP.
109. The UNP was jointly implemented by the GoU and the three UN agencies (UNDP, FAO, and UNEP) based on the overall log frame and annual work plans approved by the

GoU. Coordination arrangements for the programme took time to be consolidated and this caused delays in the beginning of the Programme.

110. There was a lengthy process to determine technical roles between the FCPF and UNP such the discussion process to reach an agreement on the role of UNP technical advisors slowed down the initiation of activities. However, this evaluation does not necessary view this as significantly negative or affecting the overall programme management and coordination. It reflects interest from both parties and what eventually became a successful well-coordinated coordinated programme. This view is based on noting the level and organization of stakeholders, meetings and workshops for promotion, sensitization, and awareness raising at the sub-national level and the collaboration within the civil society network.
111. With regards to adaptive management, the UNP adjusted several outputs after the mid-term review in 2016. Outcome 3 was revised to focus on engagement of special stakeholder categories (forest dependent people, cultural leaders, and religious leaders) and the development of a roadmap for implementing the NRS at sub national level. Both the UN agencies and GoU view this as positive outcome.
112. Before the UNP, the UN Agencies already had well established programmes in Uganda, as well as a good working relationship with government. The implementation issues outlined in this report are a result of institutional modalities that have been faced by many REDD+ countries. Implementation of National Programmes continues to be a learning lesson for UN-REDD due to varying country circumstances. However, at some point, the existing normative approaches will have to take an adaptive approach, considering lessons from the external and NP evaluation.

## 5.2 Technical Backstopping and Supervision

Table 5-2: Ratings for Technical Backstopping

	Rating
Overall Quality Technical Backstopping	S

113. Both UNDP, UNEP and FAO provided technical backstopping through the headquarters and regional offices in Nairobi, Geneva, and Rome. The ET views the backstopping as adequate and notes the continued efforts by UN agencies to increase country level support.

## 5.3 Government Participation and Ownership

Table 5-3: Summary of Ratings of Government Participation

Government Participation and Ownership	Rating
Overall rating for government participation and ownership	<b>S</b>
Government participation	S
Ownership	S

114. The NRS development process indicates strong government ownership and leadership, deliberate stakeholder participation and detailed analytical work. At both technical and senior management as well ministerial, there is broad understanding of the role of REDD+ and the challenges the country faces. Senior government officials represent the country at UNFCCC and other climate change international dialogues. The coordination and inclusion of a multitude of stakeholders from different sector indicates willingness to ensure broad participation.

## 5.4 Monitoring, Reporting and Evaluation

Table 5-4: Ratings for Monitoring, Reporting and Evaluation

Quality Monitoring, Reporting and Evaluation	Rating
Overall Quality Monitoring, Reporting and Evaluation	<b>S</b>
Monitoring	S
Reporting	S
Evaluation	S

115. There was generally satisfactory program monitoring and reporting and evaluation. Joint missions and sharing of information. Tools used to monitor report and evaluate progress included annual workplans, join missions with the World Bank team, regular Secretariat meetings, mid-term review, and annual reports.
116. The UNP progress is generally well-monitored and progress towards the indicators is specified in the results framework and assessed through monthly financial reporting and annual progress reports corresponding to annual work plans.
117. Funds used by the participating UN agencies are subject to internal and external audits as articulated in their applicable Financial Regulations and Rules. In addition, the Technical Secretariat will consult with the participating UN agencies on any additional specific audits or reviews that may be required, subject to the respective Financial Regulations and Rules of the Participating UN Organizations.
118. Participating UN agencies provide a summary of their internal audit key findings and recommendations for consolidation by the MDTF Office (Multi-Partner Trust Fund Office) Office and submission to the Policy Board and GoU. The use of funds allocated to Implementing Partners is reported back to the relevant UN agency charged with responsibilities for those funds using relevant reporting mechanisms. The Participating UN Organizations are required to provide narrative reports on results achieved, lessons learned, and the contributions made to the National Programs.
119. The execution of activities was in line with agreed protocols and it is noted that due process was followed to procure required services. Procurement used an open tendering process in which both parties agreed on the outcome as stated in the Annual Reports under Achievement of the Annual Targets.
120. The GoU, and the UN agencies and World Bank jointly conducted scheduling and annual planning, and held review meetings for all activities covered in the results framework, monitoring and evaluation plan and work plans covered by the UNP. This included an assessment of the risks and assumptions to determine whether they are still valid.

## PART 3. CONCLUSIONS, RECOMMENDATIONS AND LESSONS LEARNT

### 6 CONCLUSIONS

121. Uganda is one of 56 countries that indicate in their NDCs that they aim to implement REDD+ as part of their contribution to address climate change. It has one of the highest rates of deforestation in the world. The formulation of a national REDD+ strategy is required by the Cancun Agreements (UNFCCC, 2010, Decision 1/CP.16) to make countries eligible for international support for REDD+ but it is also an opportunity for the country to succinctly articulate priority intervention options. Uganda is also now one of about thirty-five out of the 56 REDD+ countries that include REDD+ in their NDC including readiness roadmaps and other similar documents. Avoiding tropical deforestation is a crucial part of achieving global climate change mitigation targets, and REDD+ despite all its shortcomings is the only existing mechanism legitimized and recognized by all members of the UNFCCC. These are facts that partly make the UNP relevant to Uganda.
122. Given the rate of deforestation and forest degradation over the past two decades, the REDD+ currently underway in Uganda with support from the FCPF, UNP, ADC and the GoU will enable Uganda to be ready for REDD+ implementation and subsequent participation in results-based payments. The UNP implementation, in addition to being well coordinated and complimentary to the FCPF and ADC support has been effective but with some areas where more efficiencies could be achieved. The achievements and outputs are also relevant but some key outputs such as the prototype forest accounts and policy tool require further work.
123. There is significant appetite among stakeholders to expedite the implementation of REDD+ but there are also some major challenges that Uganda faces as well as addressing some important pre-conditions. Land and forest governance reforms are often considered as preconditions for implementing REDD+. While there is recognition that forest governance, spatial planning, and land tenure will need to be addressed, additional political support and vigorous resource mobilization are important for rapid forestry sector reform.
124. The likelihood for impact and sustainability will be the result of combined contribution by the UNP, FCPF ADC, GoU and continued linkages National Development Plans and keeping in line with Vision 2040, NDC the UGGDS. However, such linkages can only be adequately maintained with appropriate resource of the FSSP and support from the NCCAC. At the operational level, institutional sustainability also needs significant support as outlined in the Roadmap prepared under Outcome 3.
125. On the part of the UN agencies, UN-REDD NPs have been a major catalyst in the evolution of global discourse on efforts to reduce deforestation because of the practical lessons they are providing. The extensive situation analysis and assessment of the potential intervention options outlined in the Program Document illustrate the attempts made by the design team to ensure alignment of outputs, indicators and the likely impact the UNP would have in the long term.

## 7 LESSONS LEARNED

- A. **Joint Program Planning:** The joint program planning between the GoU, UN-REDD, World Bank and ADC is an example excellent of leveraging that strengthens the delivery of a national REDD+ program. Such an approach could be an important lesson as Uganda embarks on developing emission reductions programs which are likely to have multiple interventions and potential multiple sources of funding. This approach creates efficiencies and an effective way to reduce administrative burdens on the limited resources
- B. **Understanding economic value and contribution of the forestry sector to the economy requires accurate data and time:** Significant interest was generated from the development of the prototype forest accounts. The GoU selected a very strategic element because having the data and information to inform policy makers is critical for evidence-based decision making. However, it has become clear that while the Forest Accounts are important, to create credible accounts requires accurate data and time. The time allocated for undertaking the exercise was insufficient *to enable access to all the necessary data from the mandated institutions.*
- C. **Timely recruitment of technical specialists is important to avoid delays:** REDD+ NPs are proving to be more complex and challenging to design than originally envisaged. The 2-year timeframe for the UNP does not seem to have been sufficient and it took a long time to recruit international staff. As noted in the recommendations, budgeting for an inception phase at the beginning and extending the programme timeframe to say 3.5 years could be more effective.
- D. **Engaging special interest groups could see broader embracing of REDD+:** Religious and cultural leaders seem to hold considerable influence in their communities and could play a vital role to change the mindset of communities on natural resource stewardship. This could lead to more effective and inclusive stakeholder engagement at both national, sub-national levels.

## 8 ANNEXES TO THE EVALUATION REPORT

### *Annex 1: Evaluation consultancies Terms of Reference*

**UN-REDD**  
PROGRAMME



# UN-REDD Uganda National Programme Final Evaluation Terms of Reference

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UN-REDD Programme

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<b>Type of contract:</b>	Individual
<b>Contractor</b>	
<b>Post Level:</b>	International Consultant
<b>Languages required:</b>	English
<b>Start Date:</b>	16 <sup>th</sup> April 2018
<b>Duration of Contract:</b>	25 days spread between April-June 2018.

#### 1. Background and context

The UN-REDD Programme is the United Nations collaborative initiative on Reducing Emissions from Deforestation and Forest Degradation in developing countries (REDD+: reducing emissions from deforestation, forest degradation and the role of conservation, sustainable management of forests, and enhancement of forest carbon stocks in developing countries). The Programme was launched in 2008 and builds on the convening role and technical expertise of the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP). The UN-REDD Programme supports national and international REDD+ processes and promotes the informed and meaningful involvement of all stakeholders, including Indigenous Peoples and other forest-dependent communities, in REDD+ development and implementation.

The UN-REDD National Programme joined the on-going efforts by the Government of Uganda (GoU), the World Bank's Forest Carbon Partnership Facility (FCPF) initiative, the Austria Development Cooperation (ADC) and other partners to support Uganda to get ready for REDD+ by 2017 through implementation of Uganda's REDD+ Readiness Preparation Proposal (R-PP). The R-PP comprises 4 key components, including: (a) Readiness Organization and Consultation including setting up national REDD+ management arrangements and advancing consultation, participation and outreach; (b) REDD+ Strategy Preparation, including assessment of land use, land use change drivers, forest law, policy and governance, REDD+ strategy options, implementation framework and social and environmental impacts; (c) Reference Emissions Level/Reference Levels, and; (d) Monitoring Systems for Forests and Safeguards, including NFMS and information system for multiple benefits and other impacts, governance and safeguards.

In April 2014, Uganda received an invitation from UN-REDD to prepare a National Programme Document. In June 2014, a UN-REDD scoping mission was undertaken jointly with FCPF's annual supervisory mission and potential areas where a UN-REDD National Programme could support Uganda on REDD+ Readiness were identified. Uganda's UN-REDD National Programme document was approved at the 13<sup>th</sup> Policy Board meeting in November 2014, signed September 17<sup>th</sup> 2015, and launched October 30<sup>th</sup> 2015, with a UN-REDD grant of US\$ 1,798,670 and additional UN-REDD Backstopping support of US\$ 35,000. The Programme's original end date was October 30<sup>th</sup> 2017, and in August 2017 it was granted a 2-month no-cost extension from the UN-REDD Secretariat. The UN-REDD National Programme ended December 31<sup>st</sup> 2017.



**Table 1: The Uganda UN-REDD National Programme Timelines**

<b>Programme Title</b>	<b>Uganda UN-REDD National Programme</b>
<b>Programme Goal</b>	Enable Uganda to be ready for REDD+ implementation, including development of necessary institutions, policies, instruments and capacities, in a collaborative and leveraging way with other REDD+ readiness partners.
<b>Approval Date</b>	November 2014
<b>Signing Date</b>	17 <sup>th</sup> September 2015
<b>Launch Date</b>	30 <sup>th</sup> October 2015
<b>End date</b>	31 <sup>th</sup> December 2017 (after 2 month no-cost extension)

**Table 2: The Uganda UN-REDD National Programme Budget**

<b>UN Agency</b>	<b>Type of Support</b>	<b>Amount (USD)</b>
<b>FAO</b>	Program Cost	640,000
	Indirect Support Cost	44,800
<b>UNDP</b>	Program Cost	601,000
	Indirect Support Cost	42,070
<b>UNEP</b>	Program Cost	440,000
	Indirect Support Cost	30,800
<b>Total Funded Budget</b>		<b>1,798,670</b>

#### National Programme Objectives, Expected Outcomes and Outputs

The Uganda national REDD+ programme has been implemented in line with the Warsaw Framework (Annex VII) with support from the FCPF, ADC and UN-REDD. The overall goal of the UN-REDD National Programme has been to enable Uganda to be ready for REDD+ implementation, including development of necessary institutions, policies, instruments and capacities, in a collaborative and leveraging way with other REDD+ readiness partners. The UN-REDD National Programme has supported Uganda's REDD+ readiness process with three major outcomes led by UNDP, FAO and UNEP, respectively:

**Outcome 1 (UNDP) – A transformational national REDD+ strategy is designed through substantial multi-sectorial technical and policy dialogue, including robust policy options and measures, mainstreamed and anchored in national development vision, planning and framework.**

Output 1.1. The strategy design process is run in a timely manner, respectful to REDD+ readiness principles, with robust technical backstopping and in smooth coordination with all other components of REDD+ readiness (for instance with the SESA and broader safeguards work supported by the FCPF).



Output 1.2. The analytical inputs to the national strategy are robust and comprehensive.

Output 1.3. The policy dimension of the strategy is strengthened through policy-level and cross-sectorial dialogue and assessment of options.

Output 1.4. The national REDD+ strategy is fully embedded in, and directly contributes to the national development planning and budgeting processes.

Output 1.5. The national REDD+ strategy enjoys strong international recognition and mobilizes support for the investment phase.

**Outcome 2 (FAO) – A National Forest Monitoring System (NFMS) is designed and set up, with appropriate Measuring, Reporting and Verification (MRV) functions.**

Output 2.1. Field data and relevant supplementary information for the development of emission factors are collected and analysed.

Output 2. 2. NFA capacities to systematically monitor forest and land cover/use change (REDD+ activity data) are strengthened.

Output 2.3. NFA has the capacities and tools to store, update and disseminate REDD+ information.

Output 2.4 - Government of Uganda has the capacities to report on its GHG emissions from the forestry sector and a draft GHG-I report.

**Outcome 3 (UNEP) – Sub-national implementation of the REDD+ national strategy is prepared and facilitated through an “integrated landscape management” approach, building on a comprehensive set of analytical work, engagement and capacity building of stakeholders, and early actions.**

Output 3.1. Understanding of land use systems, rightful access to and the spatial-temporal resource use patterns are enhanced drawing on lessons learned from selected representative landscapes.

Output 3.2. Engaging subnational stakeholders effectively in the implementation of the national REDD+ strategy

Output 3.3. Developing a strategy for the implementation of the REDD+ national strategy

Institutional Arrangements the Uganda REDD+ Process

**The National Policy Committee on Environment** - The over-all policy coordination and harmonization with regards to REDD+ is the responsibility of the National Policy Committee on Environment (PCE) under the Office of the Prime Minister (Figure 1). Its members consist of Prime Minister (Chair) and Ministers responsible for: i) Natural Resources and Environment; ii) Agriculture, Animal Industry and Fisheries; iii) Finance, Planning and Economic Development; iv) Education and Sports; v) Health; vi) Land, Housing and Urban Development; vii) Local governments; viii) Gender and Community development; ix) Tourism, Wildlife and Antiquities; and, x) Trade and Industry<sup>11</sup>. According to the Environment Act, the functions of the National Policy Committee on Environment are to: i) provide policy guidelines and to formulate and coordinate environmental policies for the Environment Authority (NEMA); ii) liaise with the Cabinet on issues affecting the environment; iii) identify obstacles to the implementation of environment policies and programmes and ensure implementation of these policies and programmes; and, iv) perform any other functions that may be assigned to it by government.

Specifically, with regards to REDD+ the National Policy Committee on Environment is expected to:-

- i. Harmonize Government policies pertaining to REDD+ with sectoral ministries.
- ii. Liaise with the Cabinet on issues affecting the smooth implementation of REDD-Plus Strategy.
- iii. Harmonize the implementation of REDD+ with broader Climate Change initiatives in Uganda.

**Management and Coordination:** The Uganda REDD+ process is spearheaded by the Ministry of Water and Environment (MWE) through the Forest Sector Support Department (FSSD) which is the National REDD+ Focal Point and Uganda REDD+ Secretariat. Overall, the MWE is responsible for all technical and managerial aspects of the Uganda REDD+ process to achieve respective outputs and deliverables.

**Policy-level Coordination and Participation:** Uganda's REDD+ Process is steered by the National Climate Change Advisory Committee (NCCAC), formerly known as Climate Change Policy Committee (CCPC) which serves as an official platform for policy-level stakeholder participation and provides policy-level guidance and coordination. The NCCAC is a steering committee, comprised of policy-level representatives from key government and non-government institutions with significant mandate over climate change issues and or interest in REDD+. The committee reports to the Permanent Secretary, MWE.

**Technical oversight:** A National Technical Committee (NTC) appointed by the Permanent Secretary of MWE, with members from REDD+ stakeholders at managerial

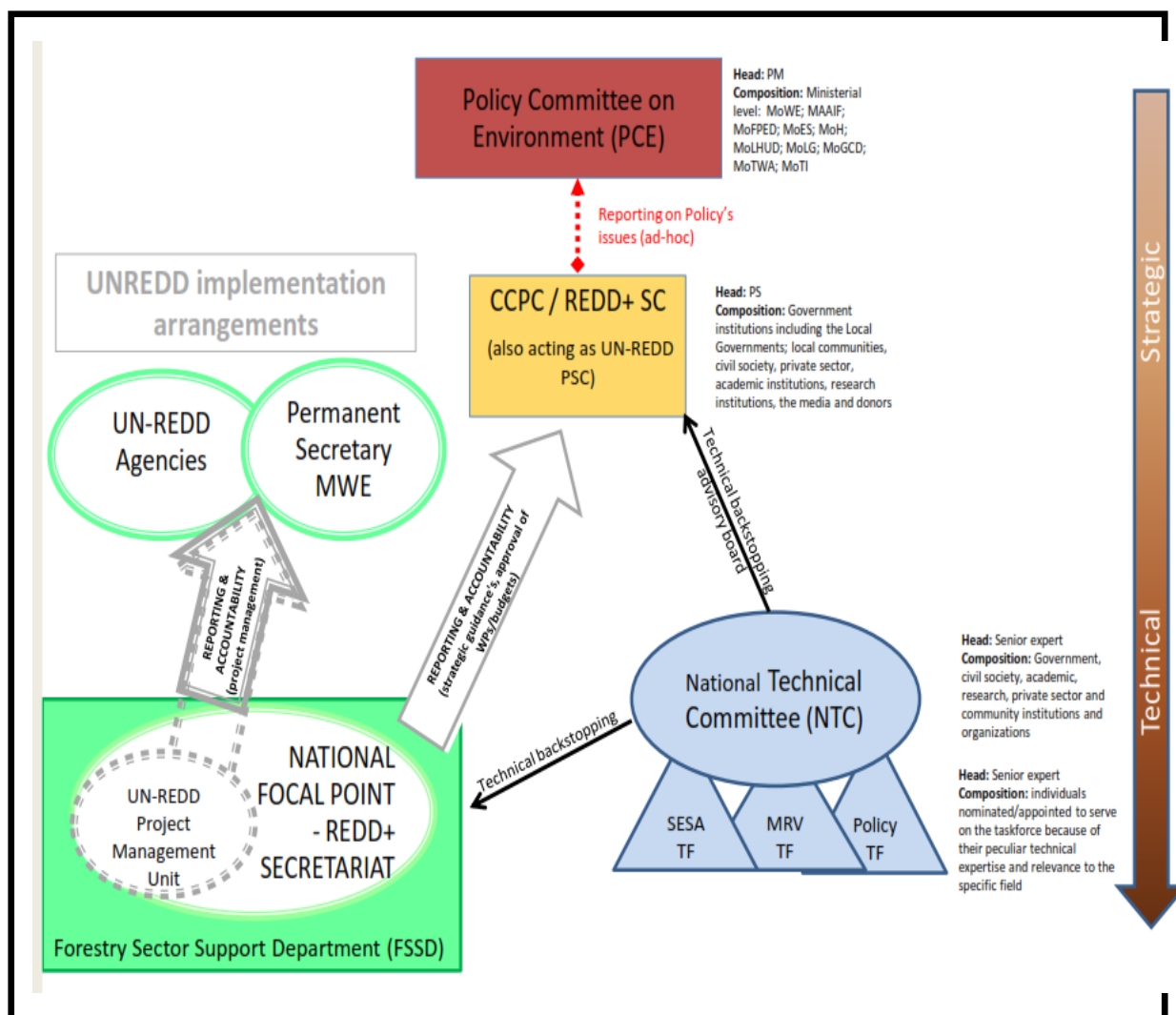
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<sup>11</sup> The Composition of the National Policy Committee on Environment does not include the ministry responsible for Energy. It is therefore, proposed to include the Ministry responsible for renewable energy in deliberations on REDD+ Strategy formulation and implementation.

or senior level, provides technical oversight and guidance to the REDD+ process. The NTC brings into the REDD+ process diverse technical specializations and interests. Membership to the NTC is based on representation of key government and non-government institutions with significant interest and/or mandate over climate change and REDD+ issues. These members hold relevant technical expertise required to ensure that all aspects of the various components of R-PP implementation and the overall REDD+ process are effectively addressed, including among other adherence to REDD+ principles, national policy and legal frameworks and World Bank safeguards. The NTC reports to the NCCAC on technical aspects.

**Technical Experts Support:** Three taskforces, namely: Strategic Environmental and Social Assessment (SESA/Safeguards); Policy Legislation & Regulations; and Methodological/Measurement, Reporting and Verification (MRV) serve as platforms for specialists or experts to provide input into the respective work of the consultants and technical agencies. Membership to the taskforces is based on individual technical relevance to the business of the taskforce. These members are drawn from national stakeholder's institutions or are independent specialists who serve on individual basis. The Taskforces report to the NTC.

**Management and Coordination:** The Forestry Sector Support Department/National REDD+ Focal Point (Uganda REDD+ Secretariat) is responsible for the day-to-day running of the Uganda REDD+ process. The National REDD+ Focal Point reports to the Permanent Secretary, MWE through the Commissioner for Forestry on overall progress, coordination and accountability for deliverables and outputs. The National REDD+ Focal Point/REDD+ Secretariat also provides secretariat services to the NCCAC, NTC and the Taskforces.



Implementation and coordination mechanisms:

The **Environment and Natural Resources Sector Working Group** provided the platform for integrating REDD+ process within the overall forest sector including, ensuring information sharing and feedback between stakeholders on issues of the REDD+ process in Uganda.

The **Joint Sector Review and Joint Technical Review** provided the platform for MWE and development partners to assess overall performance of the forest sector, including issues pertaining to REDD+ process.

**Joint Missions** provided opportunities for the REDD+ Partners (FCPF/World Bank, UN-REDD Programme and ADC) to assess and monitor implementation progress of the overall REDD+ process and its individual components.

Evaluation Scope and Objectives

All programmes supported by the UN-REDD Programme MDTF must undertake a final evaluation which will assess the relevance and effectiveness of the intervention, and measure the development impact of the results achieved, on the basis of the initial analysis and indicators described at the time of programme formulation.

The scope of this terminal evaluation shall be within the elements of the Uganda UN-REDD National Programme. The UN-REDD Team together with the FSSD/REDD+ Secretariat and the Consultant will agree on the detailed program for the terminal evaluation. The terminal evaluation will also assess the likelihood of future outcomes and impact that may not have been achieved during the lifespan of the national programme.

The general objectives of the terminal evaluation are to assess: i) the programme performance in terms of relevance, effectiveness (outcomes and outputs) and efficiency; ii) the sustainability and up-scaling of results; and, iii) the actual and potential impact stemming from the national programme.

The specific objectives of the evaluation are: i) to provide evidence of results to meet accountability requirements; ii) to assess the status of the REDD+ readiness in Uganda as according to programme formulation and delivery; iii) itemize gaps and challenges that need to be address to achieve REDD+ readiness and the UN-REDD national programme's future role in the REDD+ process in the country; iv) to propose recommendations on how existing and potential financing and investments opportunities can be leveraged and better coordinated for the implementation of the national REDD+ strategy; v) to review the institutional arrangements for the national REDD+ strategy and make recommendations on how to best implement REDD+ within these institutional arrangements; and vi) to promote learning, feedback and knowledge sharing through results and lessons learned among the participating partners and stakeholders including the GoU and UN Agencies and other partners. The evaluation will identify operational and technical lessons learned that are relevant to the implementation of REDD+ in Uganda, as well as the future UN-REDD national programmes.

The primary audience for the evaluation will be the Government of Uganda, the 3 UN-REDD Agencies (UNDP, FAO and UNEP), the World Bank, and the Austrian Development Cooperation (ADC). The secondary audience of the evaluation will be the national REDD+ Stakeholders and the UN-REDD Executive Board. The evaluation will also be made available to the public through the UN-REDD programme website, [www.un-redd.org](http://www.un-redd.org).

#### Evaluation Criteria, Questions and methodology

##### Evaluation Criteria

To focus the evaluation objectives, by defining the standards against which the initiative will be assessed, the following five evaluation criteria will be applied:

- i) **Relevance**, concerns the extent to which the National Programme and its intended outcomes or outputs are consistent with national and local policies and priorities and the needs of the intended beneficiaries. Relevance also considers the extent to which the initiative is aligned with the UN-REDD Programme Strategy 2011-2015<sup>12</sup> (or the UN-REDD Programme Framework Document<sup>13</sup> for Programmes approved before November 2010) and the corporate plans of the three participating UN Organizations. Relevance vis-a-vis other REDD+ or REDD+ related programmes implemented in the country should also be examined, in terms of synergies, complementarities and absence of duplication of efforts.
- ii) **Effectiveness**, measures the extent to which the National Programme's intended results (outputs and outcomes) have been achieved or the extent to which progress towards outputs and outcomes has been achieved. To explain why certain outputs and outcomes have been achieved better or more than others, the evaluation will review:
  - a) Processes that affected the attainment of project results – which looks at examination of preparation and readiness of the project, country ownership, stakeholder involvement, financial planning, performance of national and local implementing agencies and designated supervision agency, coordination mechanism with other relevant projects/programmes, and reasons for any bottlenecks and delays in delivery of project outputs, outcomes and the attainment of sustainability.
  - b) Implementation approach - including an analysis of the project's result framework, performance indicators, adaptive management to changing conditions, overall project management and mechanisms applied in project management in delivering project outcomes and outputs.
- iii) **Efficiency**, measures how economically resources or inputs (such as funds, expertise and time) are converted to achieving stipulated outcomes and outputs.
- iv) **Sustainability**, analyse the likelihood of sustainable outcomes at programme termination, with attention to sustainability of financial resources,

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<sup>12</sup> The UN-REDD Programme Strategy 2011-2015 is available on:

[http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4598&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4598&Itemid=53)

<sup>13</sup> The UN-REDD Programme Framework Document is available on:

[http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53)

the socio-political environment, catalytic or replication effects of the project, institutional and governance factors, and environmental risks.

- v) **Impact**, measures to what extent the National Programme has contributed to, or is likely to contribute to intermediate states towards impact, such as changes in the governance systems and stakeholder behaviour, and to impact on people's lives and the environment. The evaluation will assess the likelihood of impact by critically reviewing the programmes intervention strategy and the presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact.

#### Evaluation Questions

The following list includes standard questions and issues that the UN-REDD National Programme evaluation should address. It is based on the internationally accepted evaluation criteria mentioned above, i.e. relevance, efficiency, effectiveness, impact and sustainability, as well as an additional category of questions regarding factors affecting programme performance. The evaluation will assess the Uganda UN-REDD National Programme as follows:

##### **i) Relevance**

- a) The National Programme's relevance to:
  - Country needs;
  - National development priorities as expressed in national policies and plans as well as in sector development frameworks;
  - UN Country Programme or other donor assistance framework approved by the government;
  - The UNDAF and the UN Joint Programme on Climate Change;
  - The UN-REDD Programme Framework Document<sup>14</sup>;
  - Other REDD+ related programmes in the country, in particular the National REDD+ Strategy;
- b) Robustness and realism of the theory of change underpinning the National Programme, including logic of causal relationship between inputs, activities, expected outputs, outcomes and impacts against the specific and development objectives and validity of indicators, assumptions and risks.
- c) Quality and realism of the National Programme design, including:
  - Duration;
  - Stakeholder and beneficiary identification;
  - Institutional set-up and management arrangements;
  - Overall programme results' framework
  - Approach and methodology.

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<sup>14</sup> The UN-REDD Programme Framework Document is available on: [http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53)

- d) Evolution of National Programme objectives since programme formulation.

**ii) Effectiveness**

- e) Extent to which the expected outputs have been produced, their quality and timeliness.
- f) Extent to which the expected outcomes have been achieved.
- g) Assessment of gender mainstreaming in the National Programme. This will cover:
  - Analysis of how gender issues were reflected in Programme objectives, design, identification of beneficiaries and implementation;
  - Analysis of how gender relations and equality are likely to be affected by the initiative;
  - Extent to which gender issues were taken into account in Programme management.
  - Assessment of likely distribution of benefits and costs between stakeholders.
- h) Use made by the National Programme of the UN-REDD Programme's normative products, guidelines and safeguards, e.g. the UN-REDD Programme Guidelines on Free, Prior and Informed Consent (FPIC), and the UN-REDD / FCPF Guidelines on Stakeholder Engagement in REDD+ Readiness, and the extent of which they have contributed towards national safeguards<sup>15</sup>.
- i) Actual and potential contribution of the National Programme to the normative work of the three participating UN Organizations, e.g. contribution towards the "Delivering as One" initiative and lessons learned incorporated into broader organizational strategies.

**iii) Efficiency**

- j) Cost and timeliness of key outputs delivered compared to national and regional benchmarks
- k) Administrative costs (including costs for supervision and coordination between participating UN agencies) compared to operational costs
- l) Any time and cost-saving measures taken by the programme
- m) Any significant delays or cost-overruns incurred, reason why and appropriateness of any remedial measures taken.

**iv) Sustainability**

- n) Major factors influencing the achievement or non-achievement of sustainability of the programme.
- o) The prospects for sustaining and up-scaling the National Programme's results by the beneficiaries after the termination of the initiative. The assessment of sustainability will include, as appropriate:

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<sup>15</sup> None of the guidelines referred to were available during most of the period of programme implementation.



- Institutional, technical, economic and social sustainability of proposed technologies, innovations and/or processes;
- Perspectives for institutional uptake, support and mainstreaming of the newly acquired capacities, or diffusion beyond the beneficiaries or the National Programme.

**v) Impact**

- p) Extent to which the initiative has attained, or is expected to attain, its social and environmental objectives; this will also include the identification of actual and potential positive and negative impacts produced by the initiative, directly or indirectly, intended or unintended
- q) Presence of the required drivers and assumptions for outcomes to lead to intermediate states and impact.

**vi) Factors affecting performance**

- r) The evaluation will assess factors and processes that affected project results with particular attention to preparation and readiness of the project, country ownership, and stakeholder involvement, effectiveness of national and local implementing agencies, financial planning and management and coordination mechanisms.
- s) Management and implementation of the National Programme, including:
  - Quality and realism of work plans;
  - Quality of operational management;
  - Performance of coordination and steering bodies;
  - Quality and quantity of administrative and technical support by the three participating UN Organizations; and
  - Timeliness, quality and quantity of inputs and support by the Government and partners.
- t) Financial resources management of the National Programme, including:
  - Adequacy of budget allocations to achieve outputs;
  - Coherence and soundness of budget revisions in matching implementation needs and programme objectives;
  - Rate of delivery and budget balance at the time of the evaluation.
  - Efficiency of fund-management arrangements.
- u) Assessment of coordination mechanisms:
  - Between the three participating UN organizations to ensure joint delivery.
  - Between the Government and the three participating UN organizations to ensure programme outcomes are achieved.
  - Within and between Government ministries in order to ensure programme outcomes is achieved.
  - Between the National Programme and other bilateral and multilateral REDD+ initiatives.

In addition, the evaluation will review the following crucial questions:

- What is the status of REDD+ readiness in the country, looking at the typical REDD+ readiness components, and to which extent the programme contributed to each.
- What are the prospects for follow-up and scaling-up REDD+ in Uganda, providing suggestions for potential UN-REDD engagement.

#### Evaluation Methodology

The Monitoring and Evaluation (M&E) policy of the UNDP has four key objectives namely: i) to monitor and evaluate results and impacts; ii) to provide a basis for decision making on necessary amendments and improvements; iii) to promote accountability for resource use; and iv) to document, provide feedback on, and disseminate lessons learned.

An overall approach and method for conducting terminal evaluations of UNDP supported programmes has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of relevance, effectiveness, efficiency, sustainability, and impact, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP. A set of questions covering each of these criteria have been drafted and are included with this TOR (Section 5). The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, the UNDP Country Office, REDD+ Secretariat, UNDP Technical Advisers based in the region and key stakeholders including the World Bank and ADC. This can be through interviews (in person / telephone / by Skype) with the UNDP (Technical Advisers, relevant Country Office and Regional staff), FAO, UNEP, and REDD+ Secretariat Staff who have the UN-REDD responsibility.

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual Project Reports, project budget revisions, midterm review, progress reports, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review.

#### Evaluation Approach

The Uganda UN-REDD National Programme final evaluation will make use of the following tools:

- a) A desk review of project documents including, but not limited to:

- Relevant background documentation, including the UN-REDD Programme Framework Document<sup>16</sup>;
  - Relevant reports, such as National Programme Annual, Semi-Annual and quarterly Reports, publications, external evaluations by donors, partners etc.;
  - Project design documents, such as the National Programme Document, annual work plans and budgets, revisions to the logical framework and project financing;
  - Documentation related to National Programme outputs and relevant materials published on the Programme website, reports from workshops or consultations etc.;
  - The final report of the internal mid-term review UN-REDD National Programme;
  - Other relevant documents, such as possible new national policy documents, sector plans and available evaluations bearing relevance for UN-REDD.
- b) Semi-structured interviews<sup>17</sup> with key informants, stakeholders and participants, including:
- Government counterparts;
  - Government stakeholders including all ministries participating from coordinating bodies or steering committees;
  - Civil Society Organizations;
  - Country, regional and headquarter personnel from the three UN-Agencies involved in the National Programme, e.g. the Programme Management Unit, Resident Coordination and Regional Technical Advisers;
  - Representatives from other bi-lateral or multi-lateral initiatives co-financing the NP if applicable.
- c) The Theory of Change and subsequent application of ROTI approach on progress towards impact<sup>18</sup>.
- d) In addition, the UN-REDD programme has started to include a scorecard in the evaluations, requesting evaluators to reconstruct a baseline to the extent possible and to assess end of the National Programme status. This intended to better understand what is expected of the evaluation. The scorecard is attached as (see Annex III).

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<sup>16</sup> The UN-REDD Programme Framework Document is available on: [http://www.unredd.net/index.php?option=com\\_docman&task=doc\\_download&gid=4&Itemid=53](http://www.unredd.net/index.php?option=com_docman&task=doc_download&gid=4&Itemid=53)

<sup>17</sup> Face-to-face or through any other appropriate means of communications

<sup>18</sup> GEF Evaluation Office, (OPS4) Progress towards Impacts: The ROTI Handbook: Towards enhancing the impacts of environmental projects – Methodological paper 2.

An initial list of key stakeholders and other individuals who will be consulted is included in Annex IV.

#### Consultative process

While fully independent in its judgements, the Evaluation Team will adopt a consultative and transparent approach with internal and external stakeholders. Throughout the process the evaluation team will maintain close liaison with: the Evaluation Management Group (consisting of representatives of the three participating UN agencies, the national REDD+ Secretariat, as well as UN regional and country level staff members, and other key stakeholders). Although the team is free to discuss with the authorities concerned anything relevant to its assignment, it is not authorized to make any commitments on behalf of the Government, the donor or the participating UN Organizations.

The draft evaluation report will be circulated among the three participating UN Organizations, including the Evaluation Management Group, the national REDD+ Secretariat and other key stakeholders, including civil society, for comment before finalisation; suggestions will be incorporated as deemed appropriate by the evaluation team.

#### The Evaluation Team

The Evaluation Team should consist of an International Consultant (Team Leader) and a staff member from the Uganda UNDP country office as well as relevant staff members from UNDP, FAO and UNEP as deemed necessary. Knowledge of the country in question, good technical understanding of the REDD+ field, as well as competence and skills in evaluation will be required from the international consultant. To the extent possible the Evaluation Team will be balanced in terms of geographical and gender representation to ensure diversity and complementarity of perspectives.

The Evaluation Team members will have had no previous involvement in the formulation, implementation or backstopping of the initiative, and have no future engagement with the UN-REDD programme or the operational units, in Uganda or within the participating UN agencies involved in UN-REDD (i.e. UNDP, FAO and UNEP). All members of the Evaluation Team will sign the Evaluation Consultant Code of Conduct<sup>19</sup> Agreement Form (Annex V).

The Evaluation Team is responsible for conducting the evaluation as set out in these TORs and applying the approach and methods proposed in the inception report they will prepare. All team members, including the Team Leader, will participate in briefing

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<sup>19</sup> UNEG Code of Conduct for Evaluation in the UN system: [www.unevaluation.org/uneqcodeofconduct](http://www.unevaluation.org/uneqcodeofconduct)

and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs.

The Evaluation Team jointly must have the following skills that are required to assess the national programme:

- Broad knowledge of REDD+ and its role in climate change policies and approaches;
- At least seven years of experience in the implementation of forestry and /or climate change projects and programmes in developing countries;
- Good technical understanding of REDD+;
- Preferably in-depth knowledge of Uganda's development aspirations, nationally determined contributions and how REDD+ fits in with them;
- Demonstrate experience from evaluations of similar types of programmes, using a Theory of Change approach to evaluation or demonstrated strong knowledge of Monitoring and Review methods for development projects;
- Excellent writing, editing and presentation skills;
- Attention to detail;
- Respect for timelines

International Consultant (Team Leader)

- Advanced degree and at least 12 years' experience in natural resources/ forest management, Climate change adaptation/ mitigation, protected area management, socio-economic development or related fields.
- Technical knowledge on REDD+
- Familiarity with project implementation of complex multi donor-funded projects, particularly in sub-Saharan Africa, either through managing or evaluating donor-funded projects.
- Substantive knowledge of participatory M&E processes is essential, and experience with CSOs/community development and engagement processes, and country experience in Uganda are advantages.
- Experience in the evaluation of technical assistance projects, if possible with UNDP or other UN development agencies and major donors, is required.
- Demonstrated ability to assess complex situations in order to analyse critical issues succinctly and clearly and draw forward-looking conclusions.
- Experience in leading small multi-disciplinary, multi-national teams to deliver quality products in high stress, short deadline situations.
- Previous experience with results-based monitoring and evaluation methodologies;

Deliverables of the international consultant

- i. An acceptable and satisfactory inception report;
- ii. A preliminary findings report prepared and presented at the end of the inception mission to programme stakeholders;

- iii. A consolidated draft report that meets the quality requirements of the evaluation departments of the three participating UN agencies;
- iv. A PowerPoint Presentation covering the key points of the terminal evaluation with the main findings and recommendations presented at a validation meeting with all relevant stakeholders;
- v. A response to comments received from stakeholders on the draft report reviews;
- vi. A final evaluation report.

Detailed descriptions of the Inception and final reports are provided in section 7.1 and 7.2 below.

#### Inception Report

Before going into data collection, the consultant shall prepare an ***inception report*** containing a thorough review of the project design quality and the evaluation framework. The *inception report* should detail the evaluator's understanding of what is being evaluated and why, showing how the evaluation questions can be answered by way of: proposed methods and sources of data, as well as data collection procedures. The *inception report* will also present a draft, desk review-based Theory of Change of the National Programme, identifying outcomes, intermediate states towards impact, drivers and assumptions for evaluation. The *inception report* should also include a proposed schedule of tasks, activities and deliverables, as well as a desk based Theory of Change of the programme<sup>20</sup>. The evaluation framework should summarize the information available from programme documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified. The evaluation framework will present in further detail the evaluation questions under each criterion with their respective indicators and data sources. This will allow the three participating UN Organizations to verify that there is a shared understanding about the evaluation and clarify any misunderstandings at the outset.

The consultant shall provide a list of important documents and web pages that were read at the outset of the evaluation and before finalizing the evaluation design and the inception report. The Inception Report will be shared with the three participating UN Organizations and other relevant stakeholders and reviewed by the Evaluation Management Group.

#### Final Evaluation Report

At the end of the field mission, the consultant will prepare a *preliminary findings report* (mission Aide memoire) and present the first findings to stakeholders in Kampala at a

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<sup>20</sup> GEF Evaluation Office, (OPS4) Progress towards Impacts: The ROTI Handbook: Towards enhancing the impacts of environmental projects – Methodological paper 2.

debriefing session. The *preliminary findings report* should be shared with stakeholders invited to the debriefing session in advance of the meeting.

The consultant and the evaluation team shall prepare a *draft evaluation report* within three weeks after the field mission. The Team Leader (international consultant) bears responsibility for submitting the draft report to the UN-REDD Secretariat within three weeks from the conclusion of the mission, and the Secretariat will immediately transmit the draft report to the evaluation departments of the three participating UN Organizations. The evaluation departments will verify that the draft report meets their evaluation quality standards and may request a revision of the draft report by the consultants before it is shared with a wider audience.

The draft evaluation report will then be circulated among the three participating UN Organizations, including the Evaluation Management Group, and other key stakeholders for comments. Comments will be incorporated as deemed appropriate by the Evaluation Team. The consultant will prepare a *response to comments* in the form of a table listing all comments partially or entirely rejected by the evaluation team with an explanation why, which will be shared with stakeholders to ensure transparency. Confidential comments on the report will not be shared.

The *final evaluation report* will illustrate the evidence found that responds to the evaluation issues, questions and criteria listed in the Terms of Reference. The length of the final evaluation report should be 15-18,000 words, excluding executive summary and annexes. Supporting data and analysis should be annexed to the report when considered important to complement the main report. The recommendations will be addressed to the different stakeholders and prioritized: they will be evidence-based, relevant, focused, clearly formulated and actionable. Lessons learned will be based on programme experience and will specify the scope of their applicability beyond the programme.

The international consultant shall propose the outline of the report in the inception report, based on the template provided in Annex VI of these Terms of Reference. The report shall be prepared in English. Annexes to the evaluation report will include, though not limited to, the following as relevant:

- Terms of reference for the evaluation;
- Additional methodology-related documentation;
- Profile of team members;
- List of documents reviewed;
- List of institutions and stakeholders interviewed by the evaluation team;
- List of programme outputs/Programme results framework;
- Evaluation tools.

The international consultant and the Evaluation Team is fully responsible for its independent report which may not necessarily reflect the views of the Government or the three participating UN Organizations. An evaluation report is not subject to technical clearance by the evaluation departments of the three participating UN

Organizations, but has to meet the quality standards for evaluation of the three Organizations. The final report will be published on the UN-REDD Programme web site ([www.un-redd.org](http://www.un-redd.org)).

The international consultant and the Evaluation Team will be invited to present the findings, recommendations and lessons learned from the evaluation to a relevant event bringing (UN-)REDD stakeholders together in Uganda, to promote the dissemination and ownership of evaluation results. The inception report should suggest at which appropriate event(s) this could be done. The Team may, after completion of the evaluation process, also be invited by one or more participating UN agencies to present the evaluation at regional office or headquarters level.

Collective activities, responsibilities, evaluation schedule and payment timeline

Table 3 outlines the tentative list of activities and responsibility of the evaluation process. This timeline will be adjusted based on the date of consultant recruitment. Table 4 outlines the evaluation schedule including proposed timeline. Table 5 outlines the payment timeline during the process of the terminal evaluation.

**Table 3: The activities and responsibility for evaluation and timelines**

Activity	Responsibility	Dates
National Programme Final Evaluation Terms of Reference	The UNDP prepare the TORs in consultation with UNEP and FAO.	January 2018
Recruit the International Consultant	Country office of Uganda UNDP in consultation with FAO and UNEP	February/ April 2018
Preparation of Inception Report	International consultant Logistical support provided by the UNDP and REDD+ Secretariat	April 2018
Review inception report	The three participating UN Organizations, (including the M&E Units of the three participating UN Organizations) and the REDD+ Secretariat	April-May 2018
Evaluation Mission, including preparation of preliminary findings report	International consultant Logistical support provided by the UNDP and REDD+ Secretariat. Also, a one day debriefing workshop with stakeholders will be held at the end of the Evaluation Mission. At this workshop the preliminary findings report will be presented.	May 2018
Preparation of draft evaluation report and submission to UN-REDD Secretariat.	The draft evaluation report will be submitted to the REDD+ Secretariat about 3 weeks after the mission has been completed.	May 2018
Review Draft Evaluation Report by the evaluation departments of the participating UN Organizations	The M&E Units of the three participating UN Organizations. If need be, the evaluation team will revise the draft report. The latter will be then circulated to other stakeholders for comment.	May 2018



Review Draft Evaluation Report by the participating UN Organisations, Government Counterpart, UN Country Offices and other stakeholders	The REDD+ Secretariat should ensure the Draft Evaluation Report is shared with the Government Counterpart and other relevant key stakeholders, including civil society, for information and their comments.	June 2018
Final Report	Consultant Logistical support provided by the UNDP and REDD+ Secretariat	June 2018
Presentation of evaluation results in Uganda	Consultant	June 2018
Management response from the Participating UN Organizations	Participating UN Organizations	June 2018
Management response from the Government Counterpart	Government Counterpart	June 2018
Dissemination of the report	The UN country offices on the national level and the UN-REDD Programme Secretariat on the global level	June 2018

**Table 4: Evaluation schedule**

Deliverables / Outputs	Expected Duration (Days)	Reviews and Approvals
i. An acceptable and satisfactory inception report;	3	UNDP M&E Specialist, Team Leader CCR-DRR, National REDD Secretariat Focal Point
ii. A preliminary findings report prepared and presented at the end of the inception mission to programme stakeholders (includes field visits);	12	UNDP M&E Specialist, Team Leader CCR-DRR, National REDD Secretariat Focal Point
iii. A consolidated draft report that meets the quality requirements of the evaluation departments of the three participating UN agencies;	5	UNDP M&E Specialist, Team Leader CCR-DRR, National REDD Secretariat Focal Point
iv. A PowerPoint Presentation covering the key points of the terminal evaluation with the main findings and recommendations presented at a validation meeting with all relevant stakeholders;	1	UNDP M&E Specialist, Team Leader CCR-DRR, National REDD

		Secretariat Focal Point
v. A response/incorporation of comments received from stakeholders on the draft report reviews;	1	UNDP M&E Specialist, Team Leader CCR-DRR, National REDD Secretariat Focal Point
vi. A final evaluation report.	3	UNDP M&E Specialist, Team Leader CCR-DRR, National REDD Secretariat Focal Point
<b>Total</b>	<b>25 Days</b>	

**Table 5: The deliverable and budget percentages**

Payment Releases	Percentage payment	Timing
An acceptable and satisfactory inception report	20%	5
A draft evaluation report	30%	10
Submission and approval of the final evaluation report, which incorporates comments and recommendations from Government, UN and key stakeholders	50%	10

## Evaluation Method and Criteria

### Cumulative analysis

- The award of the contract shall be made to the individual consultant whose offer has been evaluated and determined as:
  - Responsive/compliant/acceptable, and;
  - Having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation:
    - Technical criteria weight; - 70%;
    - Financial criteria weight; - 30%.

Only candidates obtaining a minimum of 49 points (70% of the total technical points) would be considered for the Financial Evaluation

### Technical Criteria – Maximum 70 points Criteria

- Relevant degree: 10
- A minimum of 5 years' relevant work experience: 15
- Relevant experience in the evaluation of technical assistance projects: 30
- Familiarity with integrated/multi-sectoral development in the field of peace, conflict and development in Uganda: 15

## Documents to be included when submitting the proposals

Interested individual consultants must submit the following documents/information to demonstrate their qualifications in one single PDF document:

- Duly accomplished Letter of Confirmation of Interest and Availability using the template provided by UNDP (Annex II).
- Personal CV or P11, indicating all past experience from similar projects, as well as the contact details (email and telephone number) of the Candidate and at least three (3) professional references.
- Technical proposal:
- Brief description of why the individual considers him/herself as the most suitable for the assignment
- A methodology, on how they will approach and complete the assignment
- Financial proposal that indicates the all-inclusive fixed total contract price, supported by a breakdown of costs, as per template provided (Annex II)

ANNEXES (to be downloaded from UNDP Uganda Website, procurement notices section: [www.undp.or.ug](http://www.undp.or.ug)):

- ANNEX I- Individual Contractor General Terms and Conditions
- ANNEX II –Offerors Letter to UNDP Confirming Interest and Availability for the Individual Contractor Assignment

## DOCUMENTS TO BE INCLUDED WHEN SUBMITTING THE PROPOSALS

Interested individual consultants must submit the following documents/information to demonstrate their qualifications **in one single PDF document**:

- 1) Duly accomplished **Letter of Confirmation of Interest and Availability** using the template provided by UNDP (Annex II).
- 2) **Personal CV or P11**, indicating all past experience from similar projects, as well as the contact details (email and, telephone number) of the Candidate and at least three (3) professional references.
- 3) **Technical proposal**:
  - a. Brief description of why the individual considers him/herself as the most suitable for the assignment
  - b. A methodology, on how they will approach and complete the assignment. *[If applicable. A methodology is recommended for intellectual services, but may be omitted for support services]*
- 4) **Financial proposal** that indicates the all-inclusive fixed total contract price, supported by a breakdown of costs, as per template provided (Annex II)

ANNEXES (to be downloaded from UNDP Uganda Website, procurement notices section: [www.undp.or.ug](http://www.undp.or.ug)):

- ANNEX I- Individual Contractor General Terms and Conditions
- ANNEX II –Offers' Letter to UNDP Confirming Interest and Availability for the Individual Contractor Assignment

This TOR is approved by: [*indicate name of Approving Manager, only for internal purposes.*]

Signature \_\_\_\_\_

Name and Designation \_\_\_\_\_

Date of Signing \_\_\_\_\_

## ANNEX III: Score card for Rating Programme Performance Matrix

Criteria		Comments
<b>Agency Coordination and implementation:</b> Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall Quality of Project Implementation		
<i>Agency coordination</i>		
<i>Project Supervision</i>		
<b>Outcomes:</b> Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall Quality of Project Outcomes		
<i>Relevance:</i> relevant (R) or not relevant (NR)		
<i>Effectiveness</i>		
<i>Efficiency</i>		
<b>Sustainability:</b> Likely (L); Moderately Likely (ML); Moderately Unlikely (MU); Unlikely (U).		
Overall likelihood of risks to Sustainability:		
<i>Financial resources</i>		
<i>Socio-economic</i>		
<i>Institutional framework and governance</i>		
<i>Environmental</i>		
<b>Impact:</b> Significant (S), Minimal (M), Negligible (N)		
Environmental Status Improvement		
Environmental Stress Reduction		
Progress towards stress/status change		
<b>Overall Programme Results</b>		

<b><i>Ratings for Outcomes, Effectiveness, Efficiency, project implementation:</i></b> 6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3. Moderately Unsatisfactory (MU): significant shortcomings 2. Unsatisfactory (U): major problems 1. Highly Unsatisfactory (HU): severe problems	<b><i>Sustainability ratings:</i></b>  4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	<b><i>Relevance ratings</i></b>  2. Relevant (R)  1. Not relevant (NR)  <b><i>Impact Ratings:</i></b> 3. Significant (S) 2. Minimal (M) 1. Negligible (N)
<b><i>Additional ratings where relevant:</i></b> Not Applicable (N/A) : Unable to Assess (U/A)		

## Annex IV: A list of key stakeholders and other individuals to be consulted

Name	Title and Institution	Contact information
Government of Uganda		
Mr. Paul Mafabi	Director, MWE	pmafabi2@gmail.com

Mrs. Margaret Adata	Commissioner, MWE	adatamargaret@gmail.com
Mrs. Margaret Mwebesa	Assistant Commissioner, MWE	margathieno@gmail.com
Mr. Xavier Mugumya	Alternate Focal Point, FRA	xavierm_1962@yahoo.com
Mr. Valence	Senior Forestry Officer	alivalence1@gmail.com
Mrs Olive Kyampaire	Communications/Project Officer, REDD+ Secretariat	olive.kyampaire@gmail.com
Mr. Richard Kapere	Climate Change Officer, UWA	rkapere@yahoo.com
Mr. John Disii		johndiisi@gmail.com
UN-REDD Agencies		
Mrs Rosa Malango	Resident Representative, UN Uganda	rosa.malango@one.un.org
Mrs Almaz Gebru	Country Director, UNDP	almaz.gebru@undp.org
Mr. Jallow Alhaji	Country Director, FAO	alhaji.jallow@fao.org
Mr. Daniel Pouakouyou	Regional Technical Advisor for Africa, UNEP	daniel.pouakouyou@unep.org
Mrs. Elsie Attafuah	Senior Regional Technical Advisor, UNDP	elsie.atafuah@undp.org
Mrs. Anne Martinussen	Stakeholder Engagement Specialist, UN-REDD Africa	anne.martinussen@undp.org
Dr. Tasila Banda	International Technical Advisor, UN-REDD National Programme	Tasila.banda@undp.org
Mr. Onesimus Muhweezi	Team Leader, CCDRR, UNDP	onesimus.muhweezi@undp.org
Mr. Daniel Omodo	Programme Officer, CCDRR, UNDP	daniel.omodo@undp.org
Ms. Rebecca Tavani	FAO	Rebecca.Tavani@fao.org
Mrs. Sheila Kiconco	National Technical Advisor, UN-REDD National Programme	sheila.kiconco@undp.org
Mr. Elias Tumuhimbise	National Technical Assistant, UN-REDD National Programme	elias.tumuhimbise@undp.org
Mr. Sergio	Former UN-REDD Technical Advisor	Sergio.Innocente@fao.org
Mr. John Begumana	MRV Specialist	john.begumana@fao.org
Mrs. Darlene Lutalo	Programme Assistant	Darlene.Lutalo@fao.org
Non-Governmental Organization/Private Sector		
Mrs. Sophie Kutegeka	Head of Office, IUCN Uganda Country Office	Sophie.KUTEGEKA@iucn.org
Mrs. Cotilda Nakeyune	Senior Programme officer, IUCN Uganda Country office	Cotilda.Nakyeyune@iucn.org
Dr. Joshua Zake	Director, Environmental Alert	joszake@gmail.com
Research and Academic Institutions		
Dr. Justine Namaalwa	Makerere University	namaalwa.justine@gmail.com

#### ANNEX V: Evaluation Consultant Code of Conduct Agreement Form

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluations'.

The form is to be completed by all consultants and included as an annex in the final report.

<b>Evaluation Consultant Agreement Form</b>	
Agreement to abide by the Code of Conduct for Evaluation in the UN System	
Name of Consultant: _____	
<b>I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.</b>	
Signed at (place) on (date)	
Signature: _____	_____
<small>Head: PM Composition: Ministerial</small>	



## ANNEX VI: Annotated outline of the UN-REDD National Programme Terminal Evaluation Report

The Evaluation Team can modify the structure of the report outline below, as long as the key contents are maintained in the report and the flow of information and analysis is coherent and clear. The length of the UN-REDD National Programme final evaluation report should be 15-18,000 words, excluding executive summary and annexes.

### **Acknowledgements**

Insert acknowledgements.

### **Composition of the Evaluation Team**

Insert description of the composition of the Evaluation Team.

### **Table of Contents**

Insert Table of Contents.

### **Acronyms**

When an abbreviation is used for the first time in the text, it should be explained in full; it will be included in the list of acronyms when it is used repeatedly within the report.

### **Executive Summary**

The Executive Summary should:

- Be in length approximately 10-15% of the main report, excluding annexes;
- Provide key information on the evaluation process and methodology;
- Illustrate key findings and conclusions;
- List all recommendations: this will facilitate the drafting of the Management Response to the evaluation.

## **1. Introduction**

### **1.1 Background and purposes of the evaluation**

This section will include:

- The purpose of the evaluation, as stated in the Terms of Reference;
- National Programme title, starting and closing dates, initial and current total budget;
- Dates of implementation of the evaluation.

It will also mention that Annex I of the evaluation report is the evaluation Terms of Reference.

### **1.2 Methodology of the evaluation**

This section will comprise a description of the methodology and tools used and evaluation criteria that were applied by the evaluation. This should also note any limitations incurred in applying the methodology by the evaluation team.

## **2. Context of the National Programme**

This section will include a description of the developmental context relevant to the National Programme including major challenges in the area of the intervention, political and legislative issues, etc. It will also describe the process by which the programme was identified and developed and cite other related and bilateral interventions if relevant.

## **3. Concept and relevance**

### **3.1 Design**

National Programmes are built on assumptions on how and why they are supposed to achieve the agreed objectives through the selected strategy; this set of assumptions constitutes the programme theory or 'theory of change' and can be explicit (e.g. in a logical framework matrix) or implicit in a programme document.

This section will include a diagram and short description of the programme theory of change, including its results chains from outputs to impact, impact drivers and assumptions and will analyse critically:

- The appropriateness of stated development goals and outcomes (immediate objectives);
- The causal relationship between outputs, outcomes (immediate objectives) and impact (development objectives);
- The extent to which drivers for change have been recognized and supported by the programme;
- The relevance and appropriateness of indicators;
- The validity of assumptions and risks.

This section will also critically assess:

- The programme's institutional set-up and management arrangements;
- The adequacy of the time-frame for implementation;



- The adequacy of resources from all parties and appropriateness of budget allocations to achieve intended results;
- The adequacy of the methodology of implementation to achieve intended results;
- The quality of the stakeholders' and beneficiaries identification.

### **3.2 Relevance**

This section will analyse the extent to which the National Programme's objectives and strategy were consistent with country's expressed requirements and policies, with beneficiaries' needs, and other programmes, at the time of approval and at the time of the evaluation.

There will also be an analysis of the degree to which the programme corresponds to priorities in the UN-REDD Programme Strategy.

## **4. Results and contribution to stated objectives**

### **4.1 Outputs and outcomes**

This section will critically analyse the National Programme outputs: ideally, the evaluation team should directly assess all of these, but this is not always feasible due to time and resources constraints. Thus, the detailed analysis should be done on a representative sample of outputs that were assessed directly, while a complete list of outputs prepared by the programme team should be included as annex. If appropriate, the section will also include an analysis of gaps and delays and their causes and consequences.

Further, the section will critically analyse to what extent expected outcomes (specific/immediate objectives) were achieved. It will also identify and analyse the main factors influencing their achievement and the contributions of the various stakeholders to them.

### **4.2 Gender issues**

This section will analyse if and how the programme mainstreamed gender issues. The assessment will cover:

- Analysis of how gender issues were reflected in objectives, design, identification of beneficiaries and implementation;
- Analysis of how gender relations and equality and processes of women's inclusion were and are likely to be affected by the initiative;
- Extent to which gender issues were taken into account in programme management.

### **4.3 Capacity development**

The evaluation will assess:

- The extent and quality of programme work in capacity development of beneficiaries;
- The perspectives for institutional uptake and mainstreaming of the newly acquired capacities, or diffusion beyond the beneficiaries or the programme.

### **4.4 Sustainability**

This section will assess the prospects for long-term use of outputs and outcomes, from an institutional, social, technical and economic perspective. If applicable, there will also be an analysis of environmental sustainability (maintenance and/or regeneration of the natural resource base).

### **4.5 Impact**

This section will assess the current and foreseeable positive and negative impacts produced as a result of the programme, directly or indirectly, intended or unintended. It will assess the actual or potential contribution of the programme to the planned development objective and to UN-REDD strategic objectives, described in the UN-REDD Programme Strategy 2011-2015.

## **5. Implementation**

### **5.1 Budget and Expenditure**

This section will contain the analysis of the National Programme financial resources and management, including:

- Efficiency in production of outputs;
- Coherence and soundness of Budget Revisions in matching implementation needs and programme objectives; and
- Assessment of rate of delivery and budget balance at the time of the evaluation, compared to the initial plan.

### **5.2 Programme Management**

This section will analyse the performance of the management function, including:

- Efficiency and effectiveness of operations management, both within the programme and by the participating UN Organizations, including timeliness, quality, reasons for delays and assessment of remedial measures taken if any;
- Effectiveness of strategic decision-making by programme management;
- Realism of annual work-plans;
- Efficiency and effectiveness of monitoring system and internal evaluation processes;
- Elaboration and implementation of an exit strategy;
- Role and effectiveness of institutional set-up, including steering bodies;

### **5.3 Technical Backstopping**

This section will analyse the extent, timeliness and quality of technical backstopping the programme received from involved units in the participating UN Organizations, at all levels (headquarter, regional, sub-regional and country offices).

### **5.4 Government's participation**

This section will analyse government's commitment and support to the programme, in particular:

- Financial and human resources made available for programme operations;
- Uptake of outputs and outcomes through policy or investment for up-scaling.

## **6. Conclusions and Recommendations**

Conclusions need to be substantiated by findings consistent with data collected and methodology, and represent insights into identification and/or solutions of important problems or issues. They may address specific evaluation questions raised in the Terms of Reference and should provide a clear basis for the recommendations which follow.

The Conclusions will synthesise the main findings from the preceding sections: main achievements, major weaknesses and gaps in implementation, factors affecting strengths and weaknesses, prospects for follow-up, any emerging issues. It will consolidate the assessment of various aspects to judge the extent to which the programme has attained, or is expected to attain, its intermediate/specific objectives. Considerations about relevance, costs, implementation strategy and quantity and quality of outputs and outcomes should be brought to bear on the aggregate final assessment.

The section will include an assessment of the three participating UN Organizations role as implementing organizations and the quality of the feedback loop between the programme and the organizations' normative role, namely:

- Actual use by the programme of relevant participating UN Organizations' normative products (databases, publications, methodologies, etc.);
- Actual and potential contribution of programme outputs and outcomes to the participating UN Organizations normative work.

Recommendations should be firmly based on evidence and analysis, be relevant and realistic, with priorities for action made clear. They can tackle strategic, thematic or operational issues. Recommendations concerned with on-going activities should be presented separately from those relating to follow-up once the National Programme is terminated. Each recommendation should each be introduced by the rationale for it; alternatively, it should be referenced to the paragraphs in the report to which it is linked.

Each recommendation should be clearly addressed to the appropriate party(ies), i.e. the Government and the Participating UN Organizations at different levels (headquarter, regional, and national). Responsibilities and the time frame for their implementation should be stated, to the extent possible. Although it is not possible to identify a 'correct' number of recommendations in an evaluation report, the evaluation team should consider that each recommendation must receive a response.

## **7. Lessons Learned**

The evaluation will identify lessons and good practices on substantive, methodological or procedural issues, which could be relevant to the design, implementation and evaluation of similar projects or programmes, especially future UN-REDD activities and programmes in Uganda. Such lessons/practices must have been innovative, demonstrated success, had an impact, and be replicable.

### **Annexes to the evaluation report**

- I. Evaluation Terms of Reference
- II. Brief profile of evaluation team members
- III. List of documents reviewed
- IV. List of institutions and stakeholders met during the evaluation process

The team will decide whether to report the full name and/or the function of the people who were interviewed in this list.

V. List of programme outputs

This includes training events, meetings, reports/publications, initiatives supported through the programme. It should be prepared by the programme staff, in a format decided by the evaluation team, when details cannot be provided in the main text because too cumbersome.

VI. Evaluation tools

## ANNEX VII: Warsaw Framework for REDD+ and Associated UNFCCC Decisions

Following the adoption of the Warsaw Framework for REDD+ (Warsaw Framework) at the UNFCCC COP 19, the UN-REDD Programme has started to align its support to these decisions and has begun tracking country progress in achieving the elements of the Warsaw Framework. This rapid assessment aims to provide insight and to support a thought process into how countries are progressing against the Warsaw Framework elements, namely: 1) a National REDD+ Strategy or Action Plan; 2) a National Forest Reference Emission Level/National Forest Reference Level; 3); a National Forest Monitoring System and 4) Safeguards and Safeguards Information Systems.

Only complete the sections that apply to the priorities identified for the country and mark as N/A any criteria or indicator that does not apply to the context of the country.

1. National REDD+ Strategy / Action Plans				
Supported by (tick as many as applicable) : <input type="checkbox"/> National Programme; <input type="checkbox"/> Targeted Support; <input type="checkbox"/> Other Source (Specify); <input type="checkbox"/> Not Applicable				
Please provide a brief description of the progress being made, if possible separating overall progress from the progress being made with support of the National Programme (100 words): [input text]				
Indicator		Baseline (Start of NP)	Current Status (End of NP)	Notes
Proce SS	1. Does the country have a National Strategy or Action Plan to achieve REDD+?	Choose an item.	Choose an item.	
Robustness	1.1 The drivers of deforestation and forest degradation and barriers to REDD and REDD+ activities (if relevant) have been established?	Choose an item.	Choose an item.	
	1.2 The underlying drivers (and agents of DD and barriers if relevant) have been analysed in depth for each direct driver?	Choose an item.	Choose an item.	
	1.3 Has the process of establishing drivers and prioritizing them benefited from inputs from civil society and indigenous peoples groups?	Choose an item.	Choose an item.	
	1.4 Has the process of establishing and sequencing drivers benefited from inputs from other sectors (i.e. private sector engagement)?	Choose an item.	Choose an item.	
	1.5 Is the National REDD+ strategy is country driven?	Choose an item.	Choose an item.	
	1.6 Inclusion of land-use planning, land-tenure policy and/or territorial rights issues in the definition of the PAMs have been taken into account?	Choose an item.	Choose an item.	

1.7 A country approach to safeguards, including Safeguard Information System design, has been developed and is being implemented as an integral part of the overall NS/AP process?	Choose an item.	Choose an item.	
1.8 Forest governance issues have been taken into account (or are part of the NS).	Choose an item.	Choose an item.	
1.9 The NS/AP is informed by identified social and environmental benefits and risks of planned REDD+ PAM?	Choose an item.	Choose an item.	
1.10 Gender considerations have been taken into account?	Choose an item.	Choose an item.	
1.11 A National Focal Point or National REDD+ entity has been appointed?	Choose an item.	Choose an item.	
1.12 Regular multi-stakeholder meetings/workshops held?	Choose an item.	Choose an item.	
1.13 Free, Prior and Informed Consent (FPIC) advanced?	Choose an item.	Choose an item.	
1.14 Strategic REDD+ options and/or REDD+ activities have been identified?	Choose an item.	Choose an item.	
1.15 Policies and measures (PAMs) have been clearly identified, and address the priority direct & related underlying drivers?	Choose an item.	Choose an item.	
1.16 Stakeholder involvement in identifying REDD+ options, policies and measures?	Choose an item.	Choose an item.	
1.17 Institutional arrangements to plan and implement REDD+ activities established?	Choose an item.	Choose an item.	
1.18 REDD+ investment options and resource-mobilization strategies developed?	Choose an item.	Choose an item.	
1.19 A robust and transparent financial mechanism for REDD+ implementation (including RBPs) is in place?	Choose an item.	Choose an item.	
1.20 The complementary roles of the various levels of government (National, Subnational, Local) and related PAMs have been defined, regardless of decision on scale?	Choose an item.	Choose an item.	
1.21 A robust Monitoring and Evaluation (M&E) of REDD+ implementation is functional	Choose an item.	Choose an item.	

2. Forest Reference Emission Levels (FREL) / Forest Reference Levels (FRL)				
Supported by (tick as many as applicable) : <input type="checkbox"/> National Programme; <input type="checkbox"/> Targeted Support; <input type="checkbox"/> Other Source (Specify); <input type="checkbox"/> Not Applicable				
Please provide a brief description of the progress being made, if possible separating overall progress from the progress being made with support of the National Programme (100 words): [input text]				
Indicator		Baseline (Start of NP)	Current Status (End of NP)	Notes
Proce ss	<b>2.</b> Has the country established a FREL/FRL <sup>21</sup> ?	Choose an item.	Choose an item.	
Robustness	<b>2.1</b> A national forest definition for REDD+ adopted (consistent with GHG-I)	Choose an item.	Choose an item.	
	<b>2.2.</b> Scope of the FREL/FRL defined (one or more of the five REDD+ activities: reducing emissions from deforestation, reducing emissions from forest degradation, conservation of forest carbon stocks, sustainable management of forest, enhancement of forest carbon stocks).	Choose an item.	Choose an item.	
	<b>2.3</b> Scope of the FREL/FRL defined (one or more of IPCC's five carbon pools: aboveground biomass, belowground biomass, deadwood, litter, soil)?	Choose an item.	Choose an item.	
	<b>2.4</b> The scale of the FREL/FRL defined (national/subnational)?	Choose an item.	Choose an item.	
	<b>2.5</b> Time period of the FREL/FRL defined (historic reference point chosen)?	Choose an item.	Choose an item.	
	<b>2.6</b> FREL/FRL data has been compiled (emission factors and historical activity data)?	Choose an item.	Choose an item.	
	<b>2.7</b> A methodology for establishing FREL/FRL has been identified?	Choose an item.	Choose an item.	
	<b>2.8</b> A timeline for submission to the UNFCCC has been established?	Choose an item.	Choose an item.	

<sup>21</sup> FREL/FRL elements defined or at an advanced stage (scope, scale, forest definition, methodology and data compilation).

	<b>2.9</b> A plan has been established to update the FREL/FRL periodically?	Choose an item.	Choose an item.	
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3. National Forest Monitoring Systems (NFMS)				
Supported by (tick as many as applicable) : <input type="checkbox"/> National Programme; <input type="checkbox"/> Targeted Support; <input type="checkbox"/> Other Source (Specify); <input type="checkbox"/> Not Applicable				
Please provide a brief description of the progress being made, if possible separating overall progress from the progress being made with support of the National Programme (100 words): [input text]				
Indicator		Baseline (Start of NP)	Current Status (End of NP)	Notes
Process	3. Does the country have an NFMS <sup>22</sup> ?	Choose an item.	Choose an item.	
Robustness	3.1 A Land Monitoring System in place to assess activity data?	Choose an item.	Choose an item.	
	3.2 Ground-based information to determine Emission Factors available?	Choose an item.	Choose an item.	
	3.3 National GHG Inventory in place (in particular for LULUCF sector)?	Choose an item.	Choose an item.	
	3.4 Information produced by the NFMS transparent and made available to stakeholders?	Choose an item.	Choose an item.	
	3.5 The NFMS is supported by institutional arrangements at national level?	Choose an item.	Choose an item.	

4. Safeguards and the Safeguard Information System				
Supported by (tick as many as applicable) : <input type="checkbox"/> National Programme; <input type="checkbox"/> Targeted Support; <input type="checkbox"/> Other Source (Specify); <input type="checkbox"/> Not Applicable				
Please provide a brief description of the progress being made, if possible separating overall progress from the progress being made with support of the National Programme (100 words): [input text]				
Indicator		Baseline (Start of NP)	Current Status (End of NP)	Notes

<sup>22</sup> NFMS elements at an advanced stage (satellite land monitoring system, national forest inventory, greenhouse gas inventory).



Process	4. Does the country have a Safeguard Information System that provides information on how the Cancun safeguards are being addressed <i>and</i> respected throughout implementation of REDD+ actions?	Choose an item.	Choose an item.	
Robustness	4.1 Each safeguard is clarified in accordance with national circumstances	Choose an item.	Choose an item.	
	4.2 Institutional arrangements for each identified function of the Safeguard Information System have been determined and agreed?	Choose an item.	Choose an item.	
	4.3 The Safeguard Information System provides transparent and consistent information that is accessible by all relevant stakeholders?	Choose an item.	Choose an item.	
	4.4 The Safeguard Information System is flexible enough to allow for improvements over time?	Choose an item.	Choose an item.	

## *Annex 2: Evaluation Consultant Code of Conduct Agreement Form*

The form is to be completed by all consultants and included as an annex in the final report.

Evaluation Consultant Agreement Form

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

Name of Consultant: \_\_\_\_\_ Nelson Gapare \_\_\_\_\_

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

Signed at **Madrid** on **17 July 2018**

Signature: \_\_\_\_\_ 

## Annex 4: Documents consulted

1.	National Programme Document
2.	Annual Progress Report 2016
3.	Annual Progress Report 2017
4.	Annual Work Plans, 2016 and 2017
5.	annex_6_first_stakeholder_consultation_meeting_1_
6.	Assessment of the Policy, Legal and Institutional framework for Landscape Management and REDD+ .Final 30-11-2017
7.	Forestry and Macroeconomic Accounts of Uganda: The Importance of Linking Ecosystem Services to Macroeconomics
8.	Final Minutes of Joint Project Board Meeting for UNREDD SCIEWS and LECB22-23 Sept 2016
9.	FCPF Midterm Review Report and Request for Additional Funding
10.	Final Technical Report 2016 - Feb 2018
11.	Final Records and Minutes for the 6th NCCAC Meeting of November 2016_Signed
12.	Joint Mission Reports (FCPF-UNREDD)
13.	Joint Mission Aide Memoires
14.	Land Use systems assessment report 27 NOV 2017 -FINAL
15.	Mid-term review Uganda NP_Annie Martinussen 25 Nov 2016.pptx
16.	FCPF Readiness Preparation Proposal (R-PP)
17.	National REDD+ Strategy
18.	National Forestry and Tree Planting Act 2003
19.	REDD+ Strategy Roadmap (IUCN)
20.	Record and Report of the Technical Workshop on REDD+ National Baseline Scenario and National Forest Monitoring System
21.	Regional REDD+ Dialogues with Religious and Cultural leaders of Mt. Elgon, Karamoja and Northern Uganda
22.	Report for the training of representatives on the consultative platforms for the Forest dependent people
23.	Uganda Strategy Framework (SESA, ESMF, FREL, BSA, FGRM)
24.	UN-REDD Programme Strategy: <a href="http://www.unredd.net/index.php?option=com_docman&amp;task=doc_download&amp;gid=4598&amp;Itemid=53">http://www.unredd.net/index.php?option=com_docman&amp;task=doc_download&amp;gid=4598&amp;Itemid=53</a>
25.	Uganda REDD+ AM October 2016 mission FINAL
26.	Uganda_RPP_M&E_Framework_FINAL_6Nov15

## Annex 5: Key stakeholders and partners interviewed

### Revised Itinerary and Contact list of main stakeholders for UNREDD Terminal Evaluation Mr. Nelson Gapare – UNREDD Uganda Terminal Evaluation Consultant (0789001521)

Name	Title, Institution and Venue of Meeting	Contact information	
<b>Inception Meeting</b>			
Ms. Margaret Mwebesa	Assistant Commissioner, MWE Head of National REDD+ Secretariat National REDD+ Focal Point	<a href="mailto:margathieno@gmail.com">margathieno@gmail.com</a> 0772470023	✓
Mr. Xavier Mugumya	Alternate REDD+ Focal Point, National REDD+ Secretariat	<a href="mailto:xavierm1962@gmail.com">xavierm1962@gmail.com</a> 0772408396	✓
Mr. John Begumana	MRV Specialist, FAO Uganda	<a href="mailto:john.begumana@fao.org">john.begumana@fao.org</a>	✓
Mr. Alex Muhwezi	Lead Technical Advisor to the National REDD Secretariat – World Bank FCPF Programme	<a href="mailto:alebamu@gmail.com">alebamu@gmail.com</a>	✓
Ms. Sheila Kiconco	National Technical Advisor, UN-REDD National Programme, UNDP Uganda	<a href="mailto:sbkiconco@gmail.com">sbkiconco@gmail.com</a> 0771826764	
Ms. Cotilda Nakeyune	Senior Programme officer, IUCN Uganda Country office	<a href="mailto:Cotilda.Nakyeyune@iucn.org">Cotilda.Nakyeyune@iucn.org</a> 0702586255 5 June at 8.30am	✓
Mr. Justine Namaalwa	Makerere University, Uganda	<a href="mailto:namaalwa.justine@gmail.com">namaalwa.justine@gmail.com</a>	✓
Mr. Daniel Omodo-McMondo	Programme Analyst Energy and Environment, UNDP Uganda	<a href="mailto:daniel.omodo@undp.org">daniel.omodo@undp.org</a> 0772289140	
Mr Jenesta Atuhaire	Programme Associate, UNDP Uganda	<a href="mailto:jenesta.atuhaire@undp.org">jenesta.atuhaire@undp.org</a> 0772289137	
<b>Meeting with stakeholders during RR Package preparation meeting in Entebbe</b>			
Mr Xavier Mugumya	Alternate REDD+ Focal Point, National REDD+ Secretariat	<a href="mailto:xavierm1962@gmail.com">xavierm1962@gmail.com</a>	✓
Ms. Margaret Mwebesa	Assistant Commissioner, MWE Head of National REDD+ Secretariat National REDD+ Focal Point	<a href="mailto:margathieno@gmail.com">margathieno@gmail.com</a>	✓
Mr Alex Muhweezi	Chief Technical Advisor, National REDD+ Secretariat	<a href="mailto:alebamu@gmail.com">alebamu@gmail.com</a>	✓
Mr Valence Arineitwe	Senior Forestry Officer, MWE	<a href="mailto:alivalence1@gmail.com">alivalence1@gmail.com</a>	
Ms Olive Kyampaire	Communications/Project Officer, National REDD+ Secretariat	<a href="mailto:olive.kyampaire@gmail.com">olive.kyampaire@gmail.com</a> 0772587560	
Mr Richard Kapere	Climate Change Officer, Uganda Wildlife Authority (UWA)	<a href="mailto:rkapere@yahoo.com">rkapere@yahoo.com</a>	
<b>Research and Academic Institutions</b>			
Mr Justine Namaalwa	Makerere University, Uganda	<a href="mailto:namaalwa.justine@gmail.com">namaalwa.justine@gmail.com</a> 0772962877	✓
<b>Meetings with NGO / Private</b>			

Name	Title, Institution and Venue of Meeting	Contact information	
<b>Sector and others</b>			
Ms Cotilda Nakeyune	Senior Programme officer, IUCN Uganda Country office	<a href="mailto:Cotilda.Nakeyune@iucn.org">Cotilda.Nakeyune@iucn.org</a>	✓
Mr Joshua Zake	Director, Environmental Alert Uganda	<a href="mailto:joszake@gmail.com">joszake@gmail.com</a> 0773057488	✓
<b>Meeting with Ministry of Water and Environment</b>			
Mr Paul Mafabi	Director, Ministry of Water and Environment (MWE)	<a href="mailto:pmafabi2@gmail.com">pmafabi2@gmail.com</a> 0772503255	✓
Hon. Dr Kitut Kimono Mary Goretti	Minister of State for Environment in the Ministry of Water and Environment		✓
<b>Meeting(s) with UN-REDD Agencies</b>			
Ms Tasila Banda	International Technical Advisor, UN-REDD National Programme for Uganda (previously based in Uganda)	<a href="mailto:tasilabanda@gmail.com">tasilabanda@gmail.com</a>	✓
<b>Meeting(s) with UN-REDD Agencies</b>			
Ms Rosa Malango	Resident Representative, UN Uganda	<a href="mailto:rosa.malango@one.un.org">rosa.malango@one.un.org</a>	
Ms Almaz Gebru	Country Director, UNDP	<a href="mailto:almaz.gebru@undp.org">almaz.gebru@undp.org</a>	
Ms Priya Gujadhur	Deputy FAO Representative and FAO Representative ad interim		✓
Mr Daniel Pouakouyou	Regional Technical Advisor, UNEP, based in Nairobi	<a href="mailto:daniel.pouakouyou@unep.org">daniel.pouakouyou@unep.org</a>	✓
Ms Elsie Attafuah	Senior Regional Technical Advisor, UNDP, based in Nairobi	<a href="mailto:elsie.attafulah@undp.org">elsie.attafulah@undp.org</a>	
Ms Anne Martinussen	Regional Technical Advisor, UNDP, based in Nairobi	<a href="mailto:anne.martinussen@undp.org">anne.martinussen@undp.org</a>	✓
Mr Onesimus Muhweezi	Team Leader, UNDP Uganda	<a href="mailto:onesimus.muhweezi@undp.org">onesimus.muhweezi@undp.org</a>	✓
Mr Daniel Omodo-McMondo	Programme Officer, UNDP Uganda	<a href="mailto:daniel.omodo@undp.org">daniel.omodo@undp.org</a>	✓
Ms Sheila Kiconco	National Technical Advisor, UN-REDD National Programme, UNDP Uganda	<a href="mailto:sbkiconco@gmail.com">sbkiconco@gmail.com</a>	✓
Mr Moses Lutwama	HR-analyst, UNDP Uganda	<a href="mailto:moses.lutwama@undp.org">moses.lutwama@undp.org</a>	
Mr Jenesta Atuhaire	Programme Associate, UNDP Uganda	<a href="mailto:jenesta.atuhaire@undp.org">jenesta.atuhaire@undp.org</a>	✓
Mr Sergio Innocente	Former FAO UN-REDD Technical Advisor, now with FAO in Nairobi	<a href="mailto:Sergio.Innocente@fao.org">Sergio.Innocente@fao.org</a>	
Mr John Begumana	MRV Specialist, FAO Uganda	<a href="mailto:john.begumana@fao.org">john.begumana@fao.org</a>	✓
<b>World Bank FCPF, ADC</b>			
Mr Ross Hughes	Senior Natural Resources Management Specialist, Washington	<a href="mailto:rhughes@worldbank.org">rhughes@worldbank.org</a>	✓
Ms Lesya Verheijen	Natural Resources Management Specialist, Washington	<a href="mailto:lverheijen@worldbank.org">lverheijen@worldbank.org</a>	✓
Joyce Magala	Embassy of Austria (Advisor – Env & Water)	0312235104, 0776235104 <a href="mailto:joyce.magala@ada.gv.at">joyce.magala@ada.gv.at</a>	✓

Name	Title, Institution and Venue of Meeting	Contact information	
Meeting to present preliminary findings from the Terminal Evaluation	Luzira Ministry of Water and Environment		

## RECORD OF ATTENDANCE

### MINISTRY OF WATER AND ENVIRONMENT

### NATIONAL TECHNICAL COMMITTEE MEETING TO DISCUSS UGANDA'S REDD+ PROGRAMME

Venue: IMPERIAL BOTANICAL BEACH HOTEL

Date: 31<sup>ST</sup> May, 2018

Final Evaluation of the UN-REDD Uganda National Programme

S/N	Name	Gender	Designation	Institution	Tel. contact	E-mail	Signature
1	Ojirir-Ateker James	M	PM-Kidepo	NEMA	077265405	jateker@nemaug.org	
2	Mununuzi Nathan	M	CEO	MWE	0772-84843	Mununuzi@yahoo.com	
3	Menya Emmanuel	M	PST	UBOS	0772 889554	emenya@gmail.com	
4	SEMAMBO MUHAMMAD	M	SCCO-A	MWET/CCD	0704993344	medi.ssembo@gmail.com	
5	Abwalo Stella M.	F	FAM	ULGA	07897251569	stella.abwalo@ulga.org	
6	Stephen Fred Okiro	M	Senior Wildlife Officer	MWUA	0772-931963	sfokiro@gmail.com	
7	John Lumbumba	M	AC/RED	MEND	0751-993762	jmlumbumba@energy-go.ug	
8	Margaret A. Mwebere	F	Ac/Forestry	MWE	0772470023	margathieno@gmail.com	

S/N	Name	Gender	Designation	Institution	Tel. contact	E-mail	Signature
9	Alex Mwebere	M	LTA	ISSD	077	alexwebere@gmail.com	
10	DR KAGWA Paul	M	ACTS	MWFI	0701507799	paulkagwa19@gmail.com	
11	Dr Hillary Agaba	M	Director	Nabara	0772508513	hagaba@yahoo.com	
12	Patrick Byakagaba	M	Lecturer	Mak-UWU	078256379	byakagaba200@yahoo.com	
13	Mugumya Nindo Xavier	M	CC/MT-REDD+	NFA	0776408316	xcauerm1962@gmail.com	
14	Juliet Naiga		Journalist	UYA/UBC	0782524098	bunuziuliet1@gmail.com	
15	Muwemba Khalid	M	MT/MT-REDD+	UNWFP	0703829013	Muwemba@yahoo.co.uk	
16	Robert Bwanta	M	Media	Photo/Video	070717669	bwantabert@gmail.com	

S/N	Name	Gender	Designation	Institution	Tel. contact	E-mail	Signature
17	Magara Nicholas	M	Chromo	WHD	077250405	magaranic@gmail.com	
18	Pauline Nantug	F	Ex Director	ECOTrust	0772743562	Pnautug@ecotrust.or.ug	
19	Nakiguli Dehemu	F	Comm/mwe	ISSD/MWU	070845522	tennynted02@gmail.com	
20	NELSON GAFARE	M	CONSULTANT	UNEP		gafare@gmail.com	
21	Olive Kyampaire	F	C/PO	REDD+ (MWE)	077257560	olive.kyampaire@gmail.com	



## Annex 6: Rating Programme Performance

All criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU).

An aggregated rating (on a six-point scale) will be provided for Concept and relevance, Results and Contribution to stated objectives, and Overall Project Performance. These ratings are not the average of the ratings of sub-criteria but should be based on sound weighting of the sub-criteria by the Evaluation Team. All ratings should use letters (not numbers).

In the conclusions section of the report, ratings will be presented together in a table, with a brief justification cross-referenced to the findings in the main body of the report.

Criterion	Rating	Summary Assessment
<b>Concept and relevance of the NP</b>		
Design	R	This final evaluation finds the design to be relevant.
Relevance	R	The UNP is highly relevant especially noting the critical need for transformation of the forestry sector
<b>Results and contribution to stated objectives</b>		
Delivery of Outputs	S	The overall delivery of the program and outputs is not solely attributable to the UNP, but the contribution of the UNP is satisfactory noting Uganda has prepared a National REDD+ Strategy, submitted a FREL to the UNFCCC arising from a relatively robust NFMS.
Effectiveness	S	In the context of the complementary role, the UNP effectively contributed to the objectives of the R-PP objectives but the overall impact should be evaluated at the completion of the REDD+ Readiness process which is still in progress.
Efficiency	MS	The UNP had a no-cost extension but mostly attributable to issues at the beginning due to the need for adjusting necessary to fit in within the existing FCPF program framework and slow recruitment.
Cross-cutting issues:		
Gender	MS	Crosscutting issues are becoming increasingly important in mainstreaming climate change. This rating reflects the design aspects. Fundamentally, design at the minimum, necessarily need to include gender issues.
Capacity Development	MS	The capacity development is satisfactory but there is general feedback for further capacity building at both national and sub-national level.
Normative Products	S	Working as three agencies with capacity and expertise across a wide spectrum of thematic areas remains one of the strongest comparative advantages of the UN agencies. The key result from the normative work of each agency has been the increasing and supporting dialogue necessary to enhance sectoral integration and mainstreaming climate in line with the Uganda Green Growth Development Strategy
Sustainability	L	The likelihood for sustainability is moderate because of the capacity challenges generally facing government institutions. The freeze on recruitment is a significant limitation to continuity since the national REDD+ program implementation has been supported by a large pool of international experts with terminal involvement.
Up-scaling	L	The complimentary role to the FCPF program makes the likely for upscaling high since the FCPF is continuing with additional funding. There are plans already underway to develop emission reductions programs in selected landscapes.



Criterion	Rating	Summary Assessment
Likelihood of Impact	S	The results of the UNP will have a significant impact in the long-term but this will depend on the ability of the GoU to maintain the systems setup under both the FCPF, ADC and UNP. For instances, there is need for substantive capacity to maintain the NFMS, the necessary engagement with the communities who will be involved in implementation of intervention.
<b>Factors affecting performance</b>		
Programme management and coordination	MS	Coordination of the program implementation was a joint effort between the government and the UN agencies and this seems to have worked satisfactorily.
Human and financial resources administration	MS	Staff resourcing with the UN agencies was adequate to support the delivery of the UNP. International advisors are imbedded in government agencies such as FD. There were some delays in bringing technical advisors at the beginning and this report proposes some options for preventing delays at the beginning.
Technical backstopping and supervision	S	The technical backstopping was adequate and satisfactory. Both UNDP, FAO, and UNEP provided technical backstopping through the regional offices and Head offices.
Government participation and ownership	S	The GOU showed its interest in taking ownership of the implementation of the UNP right from the beginning and continued with making incremental institutional adjustments necessary for the success of the UNP.
Monitoring, reporting and evaluation	S	Effective reporting was performed through semi-annual and annual progress reports. The mid-term review provided an opportunity for re-aligning the UNP.
<b>Overall Programme Performance</b>	<b>S</b>	<b>The UNP is satisfactory and both the GOU and the UN agencies should be credited for a well implemented program that is likely to have a significant impact.</b>

## *Annex 7: Consultant Profile*

**Mr Nelson Gapare (International Consultant/Team Leader).** Nelson holds an M.B.A. from Massey University, New Zealand (2006), a Postgraduate Diploma in Resource Studies from Lincoln University, New Zealand (1999) and a Diploma in Forestry Management from the Zimbabwe College of Forestry (1993).

He has over 20 years of working experience in Forestry, Climate Change, Environmental Management, Mapping and Geospatial Technology. He has experience in Africa, Asia, South America and Australasia.

He has been continuously involved in the reviews and evaluations of climate change and natural resource management projects, and programmes with most recent ones in Papua New Guinea, Zambia, Tanzania, Cambodia, Royal Kingdom of Bhutan, Lao People's Democratic Republic, New Zealand, Guyana, Ghana, Nigeria, Malawi, Zimbabwe and Vietnam.

Nelson has been involved in evaluating UN-REDD and Forest Carbon Partnership Facility programs in several countries. Between 2014 and 2016, he carried FCPF Readiness program mid-term reviews and prepared proposals for additional funding for Cambodia, Lao PDR, and Bhutan. At the implementation level, he has held leadership roles in implementing national and sub-national projects including bilateral and multilateral projects in Lao PDR and Bhutan. For instance, he has supported the preparation of an emissions reduction program for Lao PDR under the Carbon Fund and leading a team in the development of the National REDD+ Strategy for Bhutan and one of the key components was preparing a fund mobilization strategy. In Tanzania and Zimbabwe, he was an international advisor in undertaking a gap analysis of REDD+ Readiness and capacity needs assessment for REDD+ respectively.

Nelson was part of a team that undertook multi-year appraisals since 2013 to estimate the market value of a private sector investor interest in six carbon project investments. Three of the projects are Improved Cookstove (ICS) projects implemented in Ghana, Nigeria and Malawi under the Clean Development Mechanism; two projects involve avoided deforestation projects in Peru and Zambia under the Voluntary Carbon Standard. The sixth project is a forest regeneration program in Australia implemented under the Carbon Farming Initiative.

In 2010, he successfully led a team of national experts on Land Use, Land-Use Change & Forestry (LULUCF) for the in-country review of the New Zealand 2008 GHG Inventory Report, as part of meeting international obligations under the Kyoto Protocol and UNFCCC. He has managed assignments for VCS projects on carbon monitoring and avoided deforestation in Papua New Guinea and Lao PDR, and held a leadership role in undertaking the deforestation mapping project for New Zealand's National Land Use and Carbon Analysis System.

## *Annex 8: Warsaw Framework*



## **Warsaw Framework for REDD+ and Associated UNFCCC Decisions**

## **RAPID ASSESMENT of Uganda**

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UN-REDD Programme

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June 2018

## Warsaw Framework for REDD+ and Associated UNFCCC Decisions

This section aims to provide insight and to support a thought process into how countries are progressing against the framework of the convention, namely: 5.1) a National REDD+ Strategy or Action Plan; 5.2) a Safeguards and Safeguards Information System; 5.3) a National Forest Reference Emission Level/National Forest Reference Level; and 5.4.) a National Forest Monitoring System. Only complete the sections that apply to the priorities identified for the country and mark as N/A any criteria that do not apply to the context of the country.

### a. National Strategy or Action Plan

Supported by (select all that apply and provide name of other source): <input checked="" type="checkbox"/> National Programme; <input checked="" type="checkbox"/> Targeted Support; <input type="checkbox"/> Other Source; <input type="checkbox"/> Not Applicable
<p>Please provide a brief description of the progress being made in developing a National REDD+ Strategy or Action Plan (NS/AP) as well as the source of the support provided in this regard (100 words):</p> <p>The National Strategy of Uganda was developed by Consultants under the FCPF program. The role of the UN-REDD Programme was to address the major challenge of limited human resources and technical capacities by providing technical backstopping, crucial coordination and support to the REDD+ Secretariat. The UN-REDD also supported the strategy formulation process through organizing multi-sectoral dialogue and consultations on draft policies and measures, developing NFMS, FRL and MRV, and undertaking necessary complementary studies. Contributions towards a robust national strategy have involved completion of an analytical study on the community-based approaches to REDD+ as well as the reforestation potential, both of which contributed evidence-based input into the national strategy. Several high-level policy dialogues were conducted during this year.</p>

Indicator	✓	Qualifier (select all that apply)	Please provide a short narrative describing the reason for selection as well as means/source of verification
Does the country have a National Strategy or Action Plan (NS/AP) to achieve REDD+?		Not yet initiated	<p>The development of the national strategy started with efforts to undertake gap studies since October 2015. The year 2016 was spent developing and consulting on the FRL and strategy options as well as the implementation arrangements for benefit sharing and feedback for grievances and redress mechanisms.</p> <p>In the year 2017, the national strategy options were developed as well as the national strategy.</p>
		Under design	
		Drafted, under deliberation	
		Adopted	
	✓	Link to the NS/AP provided on the UNFCCC REDD+ Web Platform Info Hub	
		Implementation in early stages	
		Full implementation of NS/AP	
Degree of completeness of national REDD+	✓	The NS/AP identifies, assesses and prioritises the direct and underlying drivers of deforestation and forest degradation , as	The development of the NS was based on a robust analysis which were carried out to identify, assess and prioritize the direct and

strategies and/or action plans.		well as the barriers to the "plus" (+) <sup>23</sup> activities on the basis of robust analyses.	underlying drivers of deforestation. This resulted in eight strategy options which formed part of the NS.
	✓	The NS/AP proposes a coherent and co-ordinated set of policies and measures (PAMs) for REDD+ that are proportionate to the drivers & barriers, results-oriented and feasible.	The strategy options proposed coherent and coordinated policies and measures for REDD+ in Uganda underwent stakeholder consultation throughout 2017.
	✓	The NS/AP relates to the scope and scale of the FREL/FRL, taking into account national circumstances.	The Uganda FRL forms the basis for the national strategy, and national circumstances were considered.
	✓	The NS/AP defines the institutional arrangements for REDD+ implementation, including governance measures, participatory oversight and inter-sectoral coordination.	The NS adequately defines institutional arrangements for implementation.
Degree to which the NS/AP incorporates principles of social inclusion and gender equality.	✓	The NS/AP is developed through a multi-stakeholder, gender-responsive and participatory consultation and dialogue process.	The entire process of developing elements of the strategy (FRL, BSA, FGRM and Strategy Options) was carried out in a broad and consultative manner following the joint FCPF and UN-REDD guidance on stakeholder engagement and consultation.
	✓	The proposed policies and measures for REDD+ integrate gender-responsive actions.	The Uganda REDD+ has a gender roadmap. In 2016, the "Gender and REDD+ Action Plan for Uganda" was prepared as a revision to the REDD+ Roadmap. In May 2016, gender indicators for the R-PP M&E framework for Uganda were prepared. These have been the basis for integrating gender into the drafted strategy options, which will be part of the national strategy.
	✓	The proposed policies and measures for REDD+ consider the realization of land and resource tenure rights (when relevant), as well as the development priorities of indigenous peoples and local communities as well as their development priorities.	The NS incorporates principles of social inclusion by taking a ladder approach to livelihood improvement from poor to wealthier conditions for each option. Furthermore, the development priorities of forest dependent communities were given specific consideration under both the FCPF and UN-REDD support.
Degree of anchoring of the NS/AP in the national	✓	There is effective inter-ministerial coordination for REDD+ action.	The REDD+ process has been a platform where multi-sectoral actors have been prepared to implement REDD+ in a coordinated manner.

<sup>23</sup>Plus (+) activities within the context of REDD+ refer to conservation of forest carbon stocks, sustainable management of forests and enhancement of forest carbon stocks

development policy and institutional fabric.	✓	Endorsement of the NS/AP has been obtained at a high political level, beyond the agency or ministry that led the REDD+ readiness process.	High-level political endorsement for the NS was achieved through various dialogues with policy and decision makers as well as other interest groups. In 2017, dialogues were conducted with for each of the 4 products of REDD+ including FRL, Strategy Options, BSA and FGRM with the Media, Private Sector, CSOs, Technical Working Group, Executive Directors, Women, Youths and Parliamentary Fora on climate change, natural resources and agriculture.
	✓	REDD+ actions or targets are embedded in the national plan or policy for sustainable development.	The fabric of the REDD+ actions in Uganda are being developed with the purpose of contributing to the Vision 2040, the NDPII and the NDC.
	✓	There is evidence that ministries/agencies outside the forest and environment sectors are committed to implementing REDD+ policies and measures.	The draft strategy options all speak beyond the primary REDD+ sector as it brings in agriculture, energy, livestock, etc.
	✓	Financing arrangements to start implementing the NS/AP (or to channel results-based finance) are designed.	The GoU developed and presented the FIP and PPCR to the Climate Investment Fund sub-committees in June 2017. These were designed to address some of the REDD+ implementation investment needs. In addition, the UNDP output 1.5 focused mainly on ensuring that the basis for REDD+ Finance for Uganda is well laid both domestically and internationally. Participation in the COP23 brought the NS to the international stage and a number of bilateral meetings were achieved with some of the potential implementation partners.

## b. Safeguard Information System

Supported by (select all that apply and provide name of other source): <input type="checkbox"/> National Programme; <input type="checkbox"/> Targeted Support; <input type="checkbox"/> Other Source; <input type="checkbox"/> Not Applicable
Please provide a brief description of the progress being made in developing a Safeguard Information System (SIS) as well as the source of the support provided in this regard (100 words):
Development of the Safeguards and Safeguards Information System (SIS) is mainly supported by funds availed through ADC and is not an outcome under the UN-REDD NP. Technical backstopping was provided by the UNEP-WCMC and the “UN-REDD Safeguards Coordination Group” at certain times during implementation, although nothing relevant in 2017.

Indicator	✓	Descriptor (select all that apply)	Please provide a short narrative describing the reason for selection as well as means/source of verification.
Does the country have a Safeguard Information System (SIS) that provides information on how the Cancun safeguards are being addressed and respected throughout implementation of REDD+ actions?		No	Work ongoing with the Austrian Cooperation Funding and led by the National REDD+ Secretariat. Although not an outcome under the UN-REDD NP, support has been provided by the “UN-REDD Safeguards Coordination Group” as well as under UNEP targeted support. Uganda has received additional financing from the FCPF in order to conclude SIS design by end 2018.
		SIS objectives determined	
	✓	Safeguard information needs and structure determined.	
		Existing information systems and sources assessed.	
		The SIS is designed, building on existing, together with any novel, information systems and sources clearly articulated in a national government-endorsed document.	
		The SIS is functional, building on existing, together with any novel, information systems and sources that are clearly articulated in a national government-endorsed document.	
		Summary of information on REDD+ safeguards, informed by the SIS, has been submitted to UNFCCC.	
Degree of completeness of the design of a country approach to address the social and environmental safeguards for REDD+		Aligns with the NS/AP, covering the social and environmental benefits and risks of the policies & measures for REDD+ being considered by the countries.	
		Defines specific policies, laws and regulations (PLRs), as well as other measures, to address the identified benefits and risks.	
		Have institutional arrangements and/or capacities to implement those PLRs and to monitor the REDD+ safeguards.	

		Transparently provides information on how safeguards are respected and addressed.	
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### c. Forest Reference Emission Level / Forest Reference Level

Supported by (select all that apply and provide name of other source): <input checked="" type="checkbox"/> National Programme; <input type="checkbox"/> Targeted Support; <input type="checkbox"/> Other Source; <input type="checkbox"/> Not Applicable
Please provide a brief description of the progress being made in developing a Forest Reference Emission Level / Forest Reference Level (FREL/FRL) as well as the source of the support provided in this regard (100 words):
This element was supported through several fund streams, mainly from the FCPF-WB, the Austrian Cooperation as well as Targeted Support from FAO under the UN-REDD Programme. The National Programme has filled in the gaps identified during the various UN-REDD scoping missions. All the 5 building blocks have been established and agreed by National stakeholders. Thereafter a FREL was submitted and has undergone Technical Assessment process.

Indicator	✓	Descriptor (select all that apply)	Please provide a short narrative describing the reason for selection as well as means/source of verification
Has the country established a FREL/FRL?		Not yet initiated	Guided by the technical papers of the IPCC, LULUCF experts local and from UN agencies, and in line with UNFCCC decisions on how countries may participate in REDD+ Uganda deliberate, define and reached consensus on five key elements of the FRL. Four key elements (i.e., Forest Definition, Scale, Scope, AD/EF) were approved by NCCAC in March 2016). A FREL approach for the country was endorsed by the National Climate Change Advisory Committee in July 2016. Uganda submitted its FREL/FRL to UNFCCC in January 2017. The FREL is going the Technical Assessment process which is expected to be concluded in February 2018..
		Capacity building phase	
		Preliminary construction phase	
		Advanced <sup>24</sup> construction phase	
		Submission drafted	
	✓	Submitted to the UNFCCC	
Robustness of FREL/FRL submissions	✓	Submission is transparent, complete, consistent and as much as possible accurate and allows reconstruction of the submitted FREL/FRL.	FREL construction and submission has followed established UNFCCC guidelines. Ten documents explaining the processes and methodological approach are available as annexes to the FREL. Where appropriate, the FREL has been modified based on the discussions and issues raised by the Assessment Team of the UNFCCC.
	✓	Includes pools and gases, and REDD+ activities (Scope) and justification for omitting significant pools and/or activities.	The current FREL reports on CO2 emissions from deforestation attributable to living biomass (Above Ground Biomass [AGB] and Below Ground Biomass [BGB]). Uganda has developed a clear plan for inclusion of other activities and gases in subsequent FREL/FRL.

<sup>24</sup> FREL/FRL elements defined or at an advanced stage (scope, scale, forest definition, methodology and data compilation).

	✓	Justifies where the submission is inconsistent with previous versions of GHG inventory.	The forest definition uses a minimum height parameter of 4 metres as opposed to 5 metres which was used by the CDM AR projects. Uganda has clarified (to UNFCCC) that this definition is consistent with previous GHG inventory reason. The second National Communication (2014) was based NFA data that has the minimum threshold height of 4 metres for forest (woodlands).
	✓	Includes details of the forest definition used and national circumstances.	A forest definition concept paper was developed that informed a series of consultative processes whereby Uganda reached consensus and constitutes the official definition from now on. The selected definition allows Uganda to report and monitor woodlands that cover big parts of central Uganda and some parts of north and north-eastern Uganda. The definition enables Uganda to use all the available historical data and continuous use of freely available Landsat imagery. The definition enables Uganda to use the same data that is used by the National Green House Gas Inventory.
	✓	Defines the geographic area covered by FREL/FRL (scale).	National scale used

#### d. National Forest Monitoring System

Supported by (select all that apply and provide name of other source): <input checked="" type="checkbox"/> National Programme; <input type="checkbox"/> Targeted Support; <input type="checkbox"/> Other Source; <input type="checkbox"/> Not Applicable
<p>Please provide a brief description of the progress being made in developing a National Forest Monitoring System (NFMS) as well as the source of the support provided in this regard (100 words):</p> <p>Monitoring function: As part of the process to institutionalizing the MRV system a platform that is comprised of key data providers of forest and land category was created and known as the MRV platform. Being responsible the National Green House Gas Inventory, the Climate Change Department (CCD) within the Ministry of Water and Environment (MWE) is recognized as the lead agency. Significant steps were made towards that development of data sharing mechanisms including joint work plans, data sharing protocols and sharing of resources but a lot still to be done. Web portal scoping mission conducted in July 2016. Launch of Web portal planned is planned for 2017 after the MRV approval with input from the MRV platform and other key stakeholders. Continuous technical backstopping provided during the implementation of the current Filed inventory. Database for hosting inventory data has greatly been improved. NFA's capacity towards the development of a GHG-I for the AFOLU/LULUCF sector that meets UNFCCC continuously improved through trainings and focused group discussions with other key sectors. The National GHGI system was launched in September 2016.</p>

Indicator		Descriptor (select all that apply)	Please provide a short narrative describing the reason for selection as well as means of verification
Has the country established a NFMS?		No	<p>The basic build blocks of the NFMS are in place. The land based Satellite information system with capacity to Monitor land use \ cover change plus change in forest remaining forest through the National forest Inventory that provides information on emission factors and a basis for estimating change in carbon stocks in forest remaining forest through repeated forest measurements.</p> <p>GIS database of time series land use \ cover data is in place covering the period of 1990,2000,2005,2010 and 2015. Accuracy assessment has been carried for 2000 and 2016. Dense time series spatial statistical analysis packages being tested out.</p> <p>Concrete plans to expand the scope of activities, carbon pools and gases in the monitoring and measurement tools in place.</p>
	✓	NFMS capacity building phase	
		Preliminary construction phase	
		Advanced <sup>25</sup> construction phase	
	✓	NFMS generating preliminary information for monitoring and MRV	
	✓	NFMS institutionalized and generating REDD+ monitoring and MRV (satellite land monitoring system, national forest inventory, greenhouse gas inventory)	
Degree of completeness of the NFMS in UN-REDD supported countries	✓	NFMS includes a Satellite Land Monitoring System (SLMS)	Skills of NFA staff to manage a SLMS have been improved and will continue to be enhanced. Facilities (internet, software, computers) are in place. The capacity of NFA to continuously update Uganda's Land use / cover will become better.
	✓	NFMS includes a National Forest Inventory (NFI)	Historical Forest Inventory data has been capture into an SQL database. NFA is being supported to carry out Forest Inventories so as to improve on existing EFs
	✓	NFMS includes a National GHG Inventory (GHGi)	Estimation of GHG emissions is one of the NFMS outputs
		The NFMS is suitable for estimating anthropogenic forest-related greenhouse gas emissions by sources, and removals by sinks, forest carbon stocks, and forest-area changes resulting from the implementation of REDD+ activities;	Establishment of the EF is using a stepwise approach. Currently, emission factors for Tropical High Forests, Woodlands, and Forest Plantations have been included in the FREL. Clear the plans to establish EF for Degraded Tropical High Forests and Montane forests (including bamboo) plus Removal factors (RF) related to carbon stock enhancements and forest restoration in Tropical High Forests, Woodlands and Forest Plantations are in place. .

<sup>25</sup> NFMS elements at an advanced stage (satellite land monitoring system, national forest inventory, greenhouse gas inventory).

		The NFMS is consistent with Intergovernmental Panel on Climate Change (IPCC) guidance and guidelines;	All plans and works are guided by Good Forestry Practice guidelines and IPCC guidelines. There is a plan to have a Web portal for easy reporting and verification.
		The NFMS enables the assessment of different types of forest in the country, including natural forest.	EF are being developed for 3 forest strata and these are 1) Tropical High Forests, 2) Woodlands, and 3) Forest Plantations.

