Terminal Evaluation Report

2014 January

Version: final

Mainstreaming Sustainable Land Management Activities in Six Cattle Corridor Districts of Uganda

UNDP Project ID: 00077187

Implementing Agency:

United Nations Development Programme, UNDP Country Office Uganda

Lead Implementation Partner (Executing Agency):

Ministry of Agriculture, Animal Industry and Fisheries (MAAIF)

Other Responsible Parties:

Ministry of Water and Environment, Department of Meteorology

Districts of Kaliro, Kamuli, Lyantonde, Nakaseke, Nakasongola, Sembabule

Photos taken by J. Lenoci, 2014 Jan

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Project Title:

Mainstreaming Sustainable Land Management Activities in Six Cattle Corridor Districts of Uganda

UNDP Project ID:	00077187
Award ID:	00060784
Country:	Republic of Uganda
Development Programme:	TerrAfrica Initiative
UNDP Thematic Centre:	Drylands Development Centre (DDC)
Funding Source:	Government of Norway
Focal Area:	Sustainable Land Management
Approval Date:	2009 April
Inception Date:	2011 August
Closing Date:	2013 December 31
Project Financing:	USD 1,644,364
Co-Financing:	USD 23,040 (In-kind funding from the Ministry of Water and Environment, Department of Meteorology)

Implementing Agency:

United Nations Development Programme, UNDP Country Office Uganda

Management Arrangement:

National Implementation Modality (NIM)

Lead Implementation Partner:

Ministry of Agriculture, Animal Industry and Fisheries (MAAIF)

Other Responsible Parties:

Ministry of Water and Environment, Department of Meteorology

Districts of Kaliro, Kamuli, Lyantonde, Nakaseke, Nakasongola, Sembabule

Terminal Evaluation Timeframe:	2014 January
Terminal Evaluation Team:	James Lenoci, International Consultant / Team Leader John Wasige PhD, National Consultant
Language of Evaluation Report:	English

The evaluation team would like to acknowledge the information and feedback provided by project stakeholders, including central level governmental ministry and agency representatives, UNDP country office staff, the project management team (PMU), and interviewed farmers. The district coordinators provided valuable support throughout the field visits, and both the PMU and UNDP country office staff provided logistical support during the field visits and evaluation interviews.

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Executive Summary

Exhibit 1: Project Summary Table				
Project Title:	Mainstreaming Sustainable Land Management Activities in Six Cattle Corridor Districts of Uganda		**at endorsement (USD)**	**at completion (USD)**
UNDP Project ID:	77187	**Gov't Norway Financing**	$1,644,364	$1,599,336
Award ID:	60784	**IA/EA own:**		
Country:	Republic of Uganda	**Government (MET):**	$23,040	$12,867
Region:	Sub-Saharan Africa	**Total co-financing:**	$23,040	$12,867
Focal Area:	Sustainable Land Management	**Total Project Cost:**	$1,667,404	$1,612,204
Operational Program:	Drylands Development Centre TerrAfrica Initiative	**Prodoc Signature Date:**		2009 Apr
Lead Implementation Partner:	Ministry of Agriculture, Animal Industry and Fisheries (MAAIF)	**Inception Date:**		2011 Aug
Other Responsible Parties:	Ministry of Water and Environment, Department of Meteorology (MET) Districts of Kaliro, Kamuli, Lyantonde, Nakaseke, Nakasongola, Sembabule	**(Operational) Closing Date:**	Proposed: 2013 Sep	Actual: 2013 Dec 31

Project Description

This project intended to address the problem of severe land degradation in the Cattle Corridor districts of Uganda which has led to reduced land productivity, exacerbating poverty and other socio-economic hardships in the districts. Land use conflicts pose a challenge to district authorities who are under-funded and under-capacitated to formulate development plans based upon environmental management priorities. The first component of the project was designed to assist 6 target districts in the Cattle Corridor in development of district environmental action plans and then to facilitate integration of sustainable land management priorities into district development plans.

Recognizing these socio-economic realities and the importance of agriculture to the local communities, achieving sustainable land management in the Cattle Corridor must consider farmers as part of the solution, rather than part of the problem. The second component of the project focused on demonstrating livelihood benefits realized through implementation of sustainable agriculture techniques as response to the priority issues identified during the DEAP process.

The project was also designed to assist the Government of Uganda to scale up the implementation of the National Action Programme (NAP) under the UNCCD. The third component of the project aimed at strengthening the UNCCD focal point, including facilitation of the finalization of Country Strategic Investment Framework (CSIF), which sets priorities, proposes appropriate interventions, and identifies roles and responsibilities of key stakeholders involved in sustainable land management. The implementing agency was the UNDP, and the project was executed under a national implementation modality (NIM), with the MAAIF as the lead implementation partner.

The project was closely aligned with Strategy 4 under the National Development Plan[1], i.e., “Enhance productivity of land through sustainable land use and management of soil and water resources”.

[1]National Development Plan (2010/11-2014/15), Republic of Uganda.

Terminal Evaluation Purpose and Methodology

The main objective of the terminal evaluation was to assess the extent of achievement of the intended results defined in the PRODOC, and identify opportunities, challenges and lessons learnt during implementation, and determine relevance of a next phase.

The terminal evaluation was an evidence-based assessment and relied on feedback from persons who have been involved in the design, implementation, and supervision of the project, review of available documents and records, and findings made during field visits.

Evaluation Ratings

Evaluation ratings are tabulated below in **Exhibit 2**.

Enclosure 2: Evaluation Rating Table		
Criteria	**Rating**	**Comments**
1. Monitoring and Evaluation		
M&E Design at Entry	Satisfactory	The M&E plan was fairly robust, however there was no separate budget line for M&E and monitoring metrics were not worked out in the project document.
M&E Plan Implementation	Moderately Satisfactory	No adjustments were made to results framework (e.g., clarifying unspecific targets) at inception, and very little monitoring implemented of the two main Project targets, i.e., districts devoting significant budget to SLM, and increased livelihoods from SLM pilot projects. Also, the mid-term review was made too late.
Overall Quality of M&E	Moderately Satisfactory	Targets remained unclear throughout the project, and generally weak monitoring of key results.
2. Implementing Agency (IA) and Lead Implementation Partner (IP) Execution		
Quality of UNDP Implementation	Satisfactory	Proactive support during implementation, particularly over the second half of the project. Guidance with respect to M&E could have been better; e.g., no adjustments were made to unspecific targets in the results framework at inception, and there was insufficient oversight of monitoring of progress made on key targets.
Quality of Execution - Lead Implementation Partner	Satisfactory	Good country ownership. However, slow start partly due to delays in operationalizing partnership arrangements. Also, weak oversight by MAAIF of MET-led activities.
Overall Quality of Implementation / Execution	Satisfactory	The UNDP and MAAIF managed to forge a constructive working arrangement, but delays in first half affected overall effectiveness and sustainability.

Enclosure 2: Evaluation Rating Table		
Criteria	**Rating**	**Comments**
3. Assessment of Project Results		
Attainment of Project Objective (Effectiveness)	Satisfactory	Clear evidence of improved livelihood benefits; strong capacity building; SLM more integrated into District planning processes; and cross-sectoral collaboration enhanced a local and central levels.
Relevance	Relevant	Project is closely aligned with NDP and UNCCD-NAP. Finalization of CSIF contributes to the operationalization of programmatic integration of SLM in the country.
Efficiency	Moderately Satisfactory	Delay in implementation reduced overall efficiency; more than 50% of the money spent in 3rd year, allowing insufficient time for monitoring and consolidation of results.
4. Sustainability		
Financial Resources	Moderately Likely	Fund-raising capacity among local farmers is fairly strong. Government funding to districts increasing for SLM activities (e.g., through NAADS), but public expenditure on agriculture remains low. The cost of the implemented DEAP process is disproportionate with district funding levels, however. Each of the districts interviewed indicated they are unable to support the DEAP process, even updating their plans, without donor support.
Socio-Economic	Moderately Likely	Social capital was significantly improved among target beneficiary farmer groups. But, socio-economic pressures on land resources remain high; e.g., some of the target districts receive the largest share of local revenue from excise tax levied on charcoal producers.
Institutional Framework and Governance	Likely	The project made significant contributions in strengthening institutions, both at local and central levels.

Enclosure 2: Evaluation Rating Table		
Criteria	**Rating**	**Comments**
Environmental	Moderately Likely	Adoption of conservation agriculture techniques could eventually lead to improved soil fertility, if implemented over a long, sustained period of time and at a broader scale.
Overall Likelihood of Sustainability	Moderately Likely	Development of institutional capacity has been impressive. Fairly strong fund-raising capacity among farmers enhances sustainability of scaling up conservation agriculture. Public expenditure on agriculture remains low, but there is an upward trend. However, districts have limited autonomy on resource allocation and cannot support the DEAP process with local and national funds available to them.
5. Impact		
Target Districts devote significant budgets to SLM	Minimal	The project has helped mainstream SLM priorities into the planning process at the target districts, and there is evidence of an increased level of SLM activities allocated in district budgets. But the impact is minimal, as the additionally funded SLM activities are relatively small in scale. There are tendencies in the country in promoting SLM-related activities at the district level, such as significant increases in NAADS funding, so there is potential for significant impact if these efforts are efficiently deployed.
Beneficiary households deriving increased livelihood benefits from enhanced land management activities	Significant	Among beneficiary households, there were significant benefits on all dimensions of livelihood assets, including financial assets, nature capital, human capital, social capital, and physical assets. The project demonstrated that focused capacity building and limited capital support can yield substantial household level improvement.

Major Project Strengths and Achievements

Clear evidence of livelihood benefits among target beneficiaries

There was compelling evidence of improved livelihoods among the local farmers who participated in training on conservation agriculture techniques and who received capital support, in the form of zero-grazing livestock, rainwater harvesting, bio-gas energy units, etc.,. These improvements were realized over a short period of time and with relatively small amounts of financial support. One of the main benefits was enhanced diversification of crops cultivated, thus increasing overall food security and income security. In some households, income levels were increased two-fold with the higher productivity gains realized through conservation agriculture and extra income from sale of milk, etc. Rainwater harvesting tanks and bio-gas units significantly reduced the amount of time women and children are spending fetching water and firewood, thus increasing personal security and allowing more time for other household priorities.

Strong capacity building enhances sustainability

Capacity building was effective on several fronts. SLM knowledge and improved sustainable agriculture skills have provided the district coordinators, in most cases Environmental Officers, and other district staff more influence in impacting district planning priorities and also in providing outreach services to local residents. The capacity building received by the local farmers, particularly through farmer-to-farmer exchanges, has significantly increased their resilience to adapting to changing environmental conditions. Financial management training extended to beneficiary groups was well-received, and the overall fund-raising capacity and long-term viability of these groups were enhanced in the process.

Operationalization of SLM on a programmatic level

Finalization of the CSIF was a major accomplishment, in progressing toward a more programmatic approach to SLM, compared to the individual and often uncoordinated project-based tendency in the past. This was also reflected at the district level, where SLM task forces have influenced the planning process by mainstreaming SLM priorities. Spending on SLM activities, including extension services under NAADS was found to be as high as 10% of total annual budgets. These funding levels are not attributed to influence from the project, as districts have traditionally implemented SLM related interventions, but the project has increased the awareness of decision makers, e.g., in how economic development can be achieved through sensible use of available natural resources.

Inclusive and Participatory Planning

Through the DEAP process in 4 of the target districts, Kaliro, Kamuli, Lyantonde, and Nakaseke, the project facilitated a participatory process in prioritizing environmental management actions. Consultations started at the village level, moved up to parishes, sub-counties, and eventually culminated with the compilation of the DEAP. Although time-consuming and rather costly, the process allowed planners to inclusively capture environmental priorities and promoted ownership of priority interventions.

High potential for up-scaling and replication

Scale-up and replication of conservation agriculture techniques was observed during the evaluation mission at each of the areas visited. Coupling traditional farming skills with the introduced methods has been adopted quickly, as capital and other entry barriers were minimal. A new project supported by COMESA will scale up the conservation agriculture techniques implemented on this project to other districts in Uganda, and funding increased under the ATAAS program to NAADS coordination efforts at the district level will replicate some of the approaches promoted by the project.

Key Shortcomings

No systems in place to track results: weak monitoring

For the two main project indicators, (1) districts devoting significant budgets to SLM and (2) increased livelihood benefits among target beneficiaries as result of SLM intervention, there were no systems in place to track results. This general weak level of monitoring is considered a significant shortcoming. There was sufficient monitoring capacity in place, e.g., through the district coordinators, but results were not systematically substantiated. As SLM is cross-cutting into several sectors, it is important that there is a consistent tally of SLM interventions and actual expenditures. For the livelihood programs, the project did carry out baseline assessments of the beneficiary groups, but there was no evidence of follow up after the interventions were implemented. Monitoring metrics should have been worked out at the inception phase.

DEAP process disproportionate with district funding levels

With respect to incremental cost criteria, the project funding of mainstreaming SLM in district planning is considered efficient. Under "business as usual" practices, SLM activities have been included in the district plans, but inclusive planning and targeted budgeting was largely not in place. Without donor support, districts have been unable to effectively carry out environmental planning, as confirmed by NEMA representatives, who indicated that roughly only 10% of districts in Uganda have prepared DEAPs. The concern is sustainability. Is the approach demonstrated by the project the best way forward for mainstreaming SLM at the district level? The project spent approx. USD 122,000 on preparation of 4 DEAPs. This amount is not high compared to similar programs in developed countries, but in Uganda, under current district funding regimes, this is a large amount of money. As the plans, including the PEAPs, SEAPs, and DEAPs require regular updating, the overall sustainability of the process is low.

DEAP process at the district level not linked to an ecosystem perspective

The DEAPs prepared for the target districts are compilations of parish level and sub-county level action plans, PEAPs and SEAPs, respectively. The priority actions are more based upon socio-economic challenges at the local levels, and are not necessarily complimentary with available ecosystem services. For example, improved agricultural practices should be linked to soil characteristics, availability of water, etc.

Project delays diminished overall sustainability

There were significant delays in the beginning of the project. The project document was approved in 2009 April, while the inception was completed more than 2 years later, in 2011 August. Some of the funds for the DEAP process were disbursed to the districts in late 2010, but more than half of the project budget was expended in one year, in 2012. These delays diminished the overall sustainability of the project outcomes. For example, as district development plans are harmonized to the 5-year cycle of the national development plan, there was insufficient time in some districts to assist staff in integrating SLM interventions into the updated DDPs. Additional time would have also benefited the local farmers, some of whom received value addition grants in 2013 December, the last month of project implementation. The delay in implementation also resulted in a diversion of project focus onto Output 2, primarily the small grants program, partially at the expense of the activities under Output 3. The Rangelands Management and Pastoralism Policy was completed rather late, in 2013 December and the CSIF launch had not yet been made at the time of project closure, although procurement was completed in December, so that the event can take place in early 2014.

Good Practices

Community procurement was efficient and empowering

The decision to use community procurement procedures for the small grants component of the project, rather than district procurement, proved not only to be more efficient in timely flow of funds to the beneficiaries, but also, in most cases, contributed to the empowerment of the farmer groups.

Using existing district staff as district coordinators enhances sustainability

Nominating district level staff as coordinators enhanced the sustainability of project benefits by "keeping" the capacity locally. The coordinators are now much more involved with the decision making process at the district level, acting as champions of SLM activities.

Adaptation of implementation modality increased efficiency in second half of project

One of the major challenges in the agricultural sector has been the slow disbursement of donor funds and the consequential slow implementation of interventions.[1] During the second half of the project, the UNDP and the MAAIF agreed that the UNDP would directly transfer funds to some of the responsible parties, rather than going through the more cumbersome MAAIF procedures.

Farmer-to-farmer exchanges were an effective capacity building method

Learning was enhanced through the farmer-to-farmer exchanges facilitated by the project. Interviewed farmers stressed how useful these visits were to them, indicating that it was more effective interacting with farmers in other regions than receiving extension advisory assistance.

Skills training rather than provision of inputs resulted in quick adoption of CA

Conservation agriculture techniques were quickly adopted and, in several cases, scaled up and replicated by local farmers. Productivity gains were realized after only one growing season, and the methods required minimal capital to implement. Traditionally, local farmers have received assistance in the form of input materials.

Lessons Learned

Preparedness is essential for science-focused and infrastructure activities

Thorough conceptualization and an exit strategy should be required for activities involving built-in infrastructure with long-term monitoring demands, e.g., the weather stations. Similarly, preparedness is essential for science-focused components such as the termite research.

Co-financing demands for small grants component might have been too low

The fund-raising capacity among the interviewed farmers groups was found to be fairly strong, and, hence, the co-financing demands for the small grants component of the project might have been too low. Low co-financing requirements sensitizes beneficiaries in receiving support with little commitment of own resources.

Selection of grant beneficiaries should also consider human security criteria

While the selection process of the small grant beneficiaries was found to be inclusive and generally fair, it might have been prudent to require groups to provide evidence that human security criteria will be used to decide which of the members of the groups receive the support. For example, rather than randomly selecting among the members, basing selection on household income levels, food security issues, or other such criteria might have ensured that the more vulnerable members of the groups benefited.

[1] Agriculture Financing and Sector Performance in Uganda, a Case Study of Donor Funded Projects, 2012, FOWODE.

Under-estimation of input requirements for improved livestock breeds under zero-grazing

Some of the interviewed beneficiaries of zero-grazing cows indicated that they were unaware of the high input demands of the improved livestock breeds, and were having a hard time coping with feed and water requirements. Introduction of improved livestock breeds in drylands areas should be incremental, due to limited feed resources available to maintain high livestock productivity.

Recommendations for future SLM implementation in the country

The following recommendations are specific actions that might be taken towards future SLM implementation in the country. As the main national-level SLM "champion", the multi-stakeholder CSIF platform should be the body tasked with facilitating implementation of actions aimed at further enhancing application of SLM.

Develop an information management system for tracking SLM activities at the district level

The Agriculture Sector DSIP includes a detailed spending scheme for sustainable land management over the period of 2010/11-2014/15, and there are SLM interventions underway at the district level. However, there are no tracking mechanisms in place to tally up what is actually being implemented. As SLM activities are spread across several different sectors, it would be advisable to develop common criteria for tallying and reporting on SLM interventions.

On a broader scale, there is also a need to better utilize land condition change criteria, which would allow periodic monitoring of the effect of implemented sustainable land management. These criteria cover changes in important biophysical and socio-economic attributes, e.g., through monitoring the following indicators: rates of adaptation and adoption of recommended practices; changes in areas under different land uses; changes in farm management practices; changes in yields and other outputs; and changes in the condition of land resources, both positive and negative.

In collaboration with key enabling stakeholders, including the Ministry of Local Government and the Ministry of Lands, Housing and Urban Development, the developed tracking mechanisms should be deployed at the district level, and procedures worked out for reporting, data management, and regular evaluation.

Rationalize the DEAP process to district funding levels and ecosystem scales

Central and local level decision makers should rationalize the DEAP process, in a manner that would maintain the required participatory outreach but possibly eliminate the need to prepare so many separate plans. Existing planning mechanisms, such as sub-county council meetings could act as platforms for compiling village and parish level priorities, and then consolidation would be managed at the district level. Also, using an ecosystem approach, e.g., according to the eco-agricultural zones established already, would enable more sensible land use planning and potentially more sustainable economic development.

Engaging experts from NEMA and other key stakeholders, a critical review of the national legislation on environmental action planning should be carried out and a set of DEAP guidelines developed that are based upon a more ecosystem approach and match local financing capabilities. The parallel GEF-supported SLM project is carrying out pilot land use planning in two of the target districts. Such land use plans would provide a framework for district development plans, and be formulated more on an ecosystem level, e.g., taking into account soil characteristics, favorable cropping areas, etc.

Develop guidelines for district level bye-laws that incentivize SLM practices

Utilizing some of the lessons learned on this project, e.g., the quick adoption of conservation agriculture and the immediate benefits of rainwater harvesting, NEMA and other enabling stakeholders should develop a set of guidelines for bye-laws that could be rolled out at the district level. Through such bye-laws, incentives for implementing SLM practices could in effect be operationalized, through payment for ecosystem services schemes, tax relief programs, etc.

Utilize the reach and scope of NAADS for innovative SLM capacity building

Both the reach and scope of NAADS extension services at the local level are undergoing significant expansion, e.g., through the ATAAS program. Some of the successful approaches deployed on this project, such as farmer-to-farmer exchanges and conservation agriculture training, could have a wide impact on a national scale if there was a concerted effort to share lessons learned and develop targeted capacity building programs that could be integrated into the NAADS plans and procedures.

Environmental safety of agrochemicals should also be stressed along with training on improved agricultural practices. The district NAADS coordinators seem to be best positioned to lead these trainings, as part of their extension advisory services.

Leverage the fund-raising capacity of local farmers

Local farmer groups were found to have relatively strong fund-raising capacity, but due to a variety of constraints, including lack of information and traditional ways of operating, their financing potential is generally under-utilized. Setting up a SLM fund administered through a partner organization that is well-positioned in the country and has existing linkages to SACCOs and other micro-financing institutions, might catalyze increased funding of SLM activities at the local level. Loans from the fund could be offered at reduced interest rates, provided that certain criteria are met to ensure the activities do indeed result in improved land management.

Abbreviations and Acronyms

AfDB	African Development Bank
ATAAS	Agricultural Technology & Agribusiness Advisory Services
AWP	Annual Work Plan
CAO	Chief Administrative Officer
CBO	Community Based Organization
CO	Country Office
COMESA	Common Market for Eastern and Southern Africa
CPAP	Country Programme Action Plan
CSIF	Country Strategic Investment Framework
DDC	Drylands Development Centre
DDP	District Development Plan
DEAP	District Environment Action Plan
DLG	District Local Government
DSIP	Development Strategy and Investment Plan
FAO	Food and Agriculture Organization of the United Nations
FI	Farmer Innovator
FIEFOC	Farm Income Enhancement and Forest Conservation Project
FY	Fiscal year
GEF	Global Environment Facility
IDDP	Integrated Dry lands Development Programme
IFAD	International Fund for Agricultural Development
IP	Implementation Partner
LPAC	Local Project Appraisal Committee
MAAIF	Ministry of Agriculture, Animal Industry and Fisheries
MDG	Millennium Development Goal
MEMD	Ministry of Energy and Mineral Development
MET	Meteorology Department, Ministry of Water and Environment
M&E	Monitoring and Evaluation
MFPED	Ministry of Finance Planning and Economic Development
MLHUD	Ministry of Lands, Housing and Urban Development
MOLG	Ministry of Local Government
MOU	Memorandum of Understanding
MTTI	Ministry of Tourism, Trade and Industry
MWE	Ministry of Water and Environment
NAADS	National Agricultural Advisory Services
NAP	National Action Programme

NARO	National Agricultural Research Organisation
NDP	National Development Plan
NEAP	National Environmental Action Plan
NEMA	National Environment Management Authority
NGO	Non-Governmental Organizations
NIM	National Implementation Modality
PES	Payment for Ecosystem Services
PEAP	Poverty Eradication Action Plan
PEAP	Parish Environment Action Plan
PEI	Poverty and Environment Initiative
PFI	Promoting Farmer Innovations
PIF	Project Implementation Framework
PMU	Programme Management Unit
PRODOC	Project Document
PS	Permanent Secretary
RP	Responsible Party
SDP	Sub-county Development Plan
SEAP	Sub-county Environment Action Plan
SLM	Sustainable Land Management
TOR	Terms of Reference
UCSIF	Uganda Country Strategic Investment Framework
UGX	Uganda Shillings
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCD	Uganda National Fund to Combat Desertification
USD	United States Dollars
WB	World Bank

1. Introduction

1.1. Objective of Evaluation

The main objective of the terminal evaluation was to assess the extent of achievement of the intended results defined in the PRODOC, and identify opportunities, challenges and lessons learnt during implementation, and determine relevance of a next phase.

1.2. Evaluation Scope and Methodology

The final evaluation was an evidence-based assessment and relied on feedback from persons who have been involved in the design, implementation, and supervision of the project, and also review of available documents and findings made during field visits.

The evaluation was carried out by an international consultant/team leader and a national consultant, and included the following activities:

- ✓ A debriefing was held on January 13 2014 at the UNDP Country Office in Kampala. The evaluation team outlined their inception report, and discussed logistical arrangements for the evaluation mission.
- ✓ An evaluation mission was carried out from 13-24 January 2014; the itinerary is compiled in **Annex 1**.
- ✓ The evaluation team interviewed key project stakeholders, listed in **Annex 2**.
- ✓ On January 16, 17, 20, and 21, field visits were made to the districts of Nakaseke, Nakasongola, Lyantonde, and Kamuli. In addition to interviewing district coordinators and other district headquarter staff, visits were made to at least two beneficiary farmer groups in each of the districts. A summary of the field visits is presented in **Annex 3**. Telephone interviews were held with district staff and farmers in the districts of Kaliro and Sembabule on January 22-23.
- ✓ The evaluation team completed a desk review of relevant sources of information, such as the project document, project progress reports, combined delivery reports, mid-term review, and key project deliverables. A complete list of information reviewed is compiled in **Annex 4**.
- ✓ In order to validate the livelihood benefits realized as a result of the capacity building and capital support to select farmer groups, the evaluation team carried out interviews with farmers in 13 of the 24 farmer groups. For each of the 13 groups, at least 2 farmers were interviewed. The results of the livelihood assessment are compiled in **Annex 5.**
- ✓ At the end of the evaluation field mission on January 24, 2014, the evaluation team presented the findings to the Project Board in Kampala.
- ✓ The evaluation team obtained additional information via e-mail from some of the stakeholders during the week of January 27-31, after the field mission was completed.

As a data collection and analysis tool, an evaluation matrix was adapted from the preliminary set of questions included in the TOR. Evidence gathered during the fact-finding phase of the evaluation is documented in the matrix (see **Annex 6**), and for quality assurance, evidence was cross-checked between as many sources as practicable, in order to validate the findings.

1.3. Structure of the Evaluation Report

The evaluation report starts out with a description of the project, indicating the duration, main stakeholders, and the immediate and development objectives. The findings of the evaluation are broken down into the following sections in the report:

- ✓ Project Formulation
- ✓ Project Implementation
- ✓ Project Results

The discussion under **project formulation** focuses on an evaluation of how clear and practicable were the project's objectives and components, and whether project outcomes were designed according to SMART criteria (see **Exhibit 3**).

Exhibit 3: SMART Criteria

S	**Specific**: Outcomes must use change language, describing a specific future condition
M	**Measurable**: Results, whether quantitative or qualitative, must have measurable indicators, making it possible to assess whether they were achieved or not
A	**Achievable**: Results must be within the capacity of the partners to achieve
R	**Relevant**: Results must make a contribution to selected priorities of the national development framework
T	**Time- bound**: Results are never open-ended. There should be an expected date of accomplishment

Source: Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP

Also, project formulation covers whether or not capacities of executing agencies were sufficiently considered when designing the project, and if partnership arrangements were identified and negotiated prior to project approval. An assessment of how assumptions and risks were taken into account in the development phase is also included.

The report section on **project implementation** first looks at how the logical results framework was used as an M&E tool during the course of the project. Also, the effectiveness of partnerships and the degree of involvement of stakeholders are evaluated. Project finance is assessed, by looking at the degree of co-financing that was materialized in comparison to what was committed, and also whether or not additional or leveraged financing was secured during the implementation phase. The cost-effectiveness of the project is evaluated by analyzing how the planned activities met or exceeded the expected outcomes over the designed timeframe, and whether an appropriate level of due diligence was maintained in managing project funds.

The quality of execution by both the implementing agency and the executing agency is also evaluated and rated in the project implementation section of the report. This evaluation considers whether there was sufficient focus on results, looks at the level of support provided, quality of risk management, Government ownership (in the case of the executing agency), and the candor and realism represented in the annual reports.

The project implementation section also contains an evaluation and rating of the project M&E system. The appropriateness of the M&E plan is assessed, as well as a review of how the plan was implemented, e.g., compliance with progress and financial reporting requirements, how were

adaptive measures taken in line with M&E findings, and management response to the recommendations from the mid-term review.

Project results were evaluated and rated according to relevance, effectiveness, and efficiency:

Relevance: The extent to which the activity is suited to local and national development priorities and organizational policies, including changes over time.

Effectiveness: The extent to which an objective has been achieved or how likely it is to be achieved.

Efficiency: The extent to which results have been delivered with the least costly resources possible; also called cost effectiveness or efficacy.

In addition to assessing outcomes, the report includes an evaluation of country ownership, mainstreaming, sustainability (which is also rated), catalytic role, and impact.

The findings are summarized into comprehensive and balanced conclusions, highlighting the strengths, weaknesses, and outcomes of the project. Conclusions are substantiated with evidence and connected to the key evaluation questions.

Finally, the evaluation presents recommendations for reinforcing and following up on initial project benefits. The report concludes with a discussion of lessons learned and good practices which should be considered for other UNDP interventions.

1.4. Ethics

The evaluation was conducted in accordance with the UNEG Ethical Guidelines for Evaluators, and the evaluation team has signed the Evaluation Consultant Code of Conduct Agreement form (see **Annex 7**). In particular, the evaluation team ensures the anonymity and confidentiality of individuals who were interviewed and surveyed. In respect to the UN Declaration of Human Rights, results were presented in a manner that clearly respects stakeholders' dignity and self-worth.

1.5. Limitations

The evaluation was carried out over a period of 20 consultant days, which included preparation/inception, field mission, desk review, and completion of the evaluation report, according to the guidelines outlined in the Terms of Reference (see **Annex 8**). As time was limited, some of the stakeholders earmarked for interviews were unavailable, although they did respond to inquiries sent by email. The evaluation team assumes that the information obtained over the course of the evaluation time period is representative.

1.6. Evaluation Ratings

The findings of the evaluation are compared against the targets set forth in the logical results framework, and also analyzed in light of particular local circumstances. The effectiveness and efficiency of project outcomes are rated according to a 6-point scale, ranging from Highly Satisfactory (no shortcomings) to Highly Unsatisfactory (severe shortcomings). Monitoring & evaluation and execution of the implementing and executing agencies were also rated according to this scale. Relevance is evaluated to be either relevant or not relevant.

Sustainability is rated according to a 4-point scale, ranging from Likely (negligible risks to the likelihood of continued benefits after the project ends) to Unlikely (severe risks that project outcomes will not be sustained). Impact was rated according to a 3-point scale, including significant, minimal, and negligible. The rating scales are compiled below in **Exhibit 4**.

Exhibit 4: Rating Scales

Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution	Sustainability Ratings:	Relevance Ratings:
6. Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency	**4: Likely (L)** Negligible risks to sustainability	**2. Relevant (R)**
5: Satisfactory (S): There were only minor shortcomings	**3. Moderately Likely (ML):** Moderate risks to sustainability	**1. Not relevant (NR)**
4. Moderately Satisfactory (MS): There were moderate shortcomings	**2. Moderately Unlikely (MU):** Significant risks to sustainability	**Impact Ratings:**
3. Moderately Unsatisfactory (MU): The project had significant shortcomings	**1. Unlikely (U):** Severe risks to sustainability	**3. Significant (S)**
2. Unsatisfactory (U): There were major shortcomings in the achievement of project objectives in terms of relevance, effectiveness, or efficiency		**2. Minimal (M)**
1. Highly Unsatisfactory (HU): The project had severe shortcomings		**1. Negligible (N)**

Additional ratings where relevant:
Not Applicable (N/A)
Unable to Assess (U/A)

Source: Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects, 2012, UNDP

2. Project Description

2.1. Project Start and Duration

Key project dates are listed below:

Project Approval	2009 April
Inception date	2011 August
Mid-term evaluation	2013 Jan-Mar
Project completion (proposed)	2013 August
Project completion (actual)	2013 December
Terminal evaluation	2014 January

2.2. Problems that the Project Sought to Address

This project intended to address the problem of severe land degradation in the Cattle Corridor districts of Uganda which has led to reduced land productivity, exacerbating poverty and other socio-economic hardships in the districts.

Land degradation is widespread in Uganda, especially in the semi-arid and arid zones commonly referred to as the Cattle Corridor. The growing rural population has few alternative forms of livelihood and focuses on crop cultivation and livestock rearing. Arable land availability of less than 1 ha per capita and the lack of farm intensification has resulted in massive and unregulated conversion of forest lands to agriculture. This, combined with the harvesting of wood to meet household energy needs, is causing large-scale deforestation. Bush burning, overgrazing and high incidences of poverty are other causes of land degradation and desertification. These land use conflicts pose a challenge to district authorities who are under-funded and under-capacitated to formulate development plans based upon environmental management priorities. The first component of the project was designed to assist 6 target districts in the Cattle Corridor in development of district environmental action plans and then to facilitate integration of sustainable land management priorities into district development plans.

Considering these socio-economic realities and the importance of agriculture to the local communities, achieving sustainable land management in the Cattle Corridor must consider farmers as part of the solution, rather than part of the problem. The second component of the project focused on demonstrating livelihood benefits realized through implementation of sustainable agriculture techniques.

The 6 target districts include two in the east, Kaliro and Kamuli, two in the center, Nakaseke and Nakasongola, and two in the west, Lyantonde and Sembabule. In an earlier UNDP-DDC SLM project, a DEAP was produced for the district of Sembabule, and Nakasongola received support in 2000-01 for preparing a DEAP. In addition to representative geographic coverage, it was also important to include some of the newer districts among the selected ones.

The location of the target districts are shown on the map in **Exhibit 5** below.

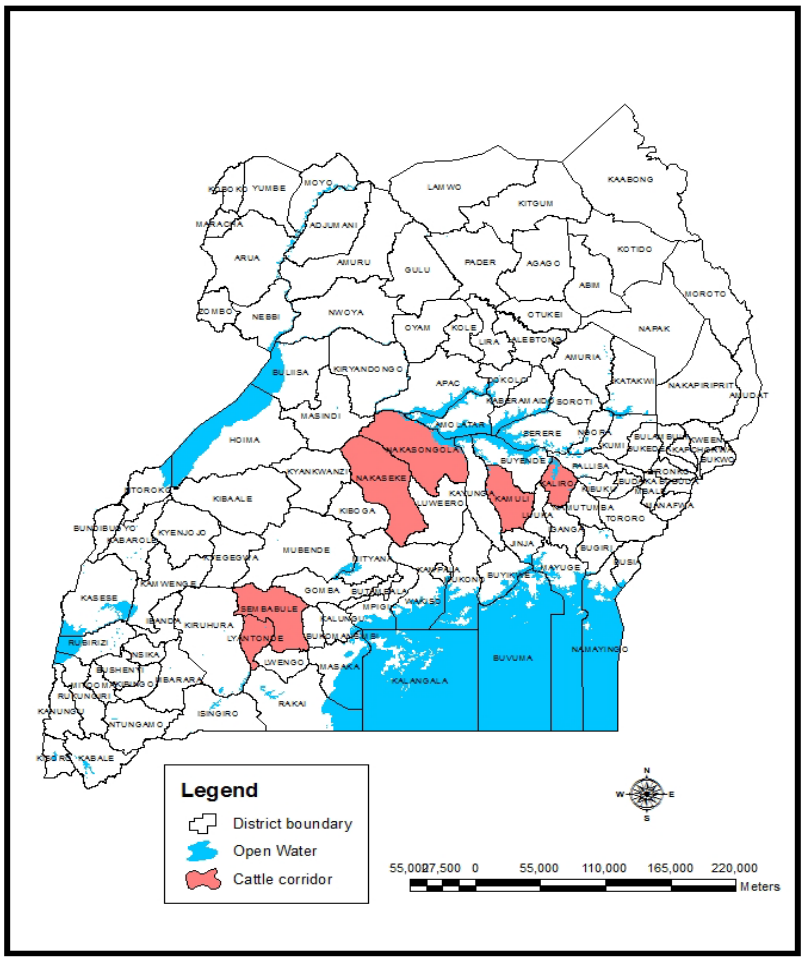


Exhibit 5: Map of Uganda showing the 6 target districts

The project was also designed to assist the Government of Uganda to scale up the implementation of the National Action Programme (NAP) under the UNCCD. The third component of the project aimed at strengthening the UNCCD focal point, including through facilitation of the finalization of Country Strategic Investment Framework (CSIF), which sets priorities, proposes appropriate interventions, and identifies roles and responsibilities of key stakeholders involved in sustainable land management.

2.3. Immediate and Development Objectives of the Project

The immediate objectives of the Project were to:

a) Support the Mainstreaming of SLM issues into District Development Plans and Budgets;

b) Support adoption of sustainable livelihood and land management practices by local communities in the cattle corridor, and

c) Strengthen the UNCCD/NAP focal point office in the Ministry of Agriculture Animal Industry and Fisheries (MAAIF) and the inter-ministerial committee on SLM to support implementation of the national SLM Investment Framework.

The long term objective of the project was "to contribute to sustainable land management and enhance the livelihoods of local communities in the dry lands of Uganda."

2.4. Budget

The total project implementation budget was USD 1,644,364, not including the USD 23,040 of in-kind co-financing committed by the Department of Meteorology of the Ministry of Water and Environment. A breakdown of project budget by output is presented below in **Exhibit 6**.

Exhibit 6: Breakdown of Project Budget and Actual Expenditures

Item	*Budget (USD) % of Total*	*Actual Exp. (USD) % of total*
Output 1 SLM Integrated into District Planning	**$305,984** 19%	**$349,721** 22%
Output 2 SLM Interventions Implemented in Target Districts	**$852,884** 52%	**$786,210** 49%
Output 3 UNCCD/NAP and Inter-Ministerial Structures Strengthened	**$452,695** 28%	**$463,406** 29%
Miscellaneous Costs	**$32,801** 2%	
Total	**$1,644,364**	**$1,599,336**

Notes:

As of 2013 Dec 31, surplus funds: $45,028

Project management costs not separated.

As of 2013 December 31, a surplus of USD 45,028 was available according to the provided financial statements. According to project management, procurement for spending these funds was completed before the December 31, for example, for printing and disseminating the CSIF and organizing the launch of the CSIF.

With respect to the project budget and cost breakdowns, project management cost was not indicated as separate line item; thus, evaluation of the amount of money spent on project management cannot be made with the available information provided.

2.5. Baseline Indicators Established

Baseline indicators established are listed below.

District Planning and Budgetary Processes:

- ✓ DEAPs were already in place in two districts of Nakasongola and Sembabule; PEAPs and SEAPs were in place in another 2 districts of Kamuli and Kaliro. The other 2 districts of Lyantonde and Nakaseke had no SEAPs or DEAPs.
- ✓ SLM priority issues not integrated in SDPs, DDPs of the 6 Districts, and DDPs had minimal budgetary allocations for SLM issues.
- ✓ Districts had inadequate capacity in terms of technical and equipment for monitoring SLM activities.

Local Farmers:

- ✓ Inadequate training of farmer groups in governance.
- ✓ Inadequate number of farmer Innovators, farmer networks identified using the Promoting Farmer Innovations" approach.

- ✓ Inadequate number of exchange visits organized.
- ✓ Inadequate number of on the ground SLM priority initiatives and inadequate number of local communities involved in actual implementation.
- ✓ No conclusive information on the role of termites in drylands is available.

2.6. Main Stakeholders

The key stakeholders engaged in the project included the local communities and local government officials in the six target districts of Kaliro, Kamuli, Lyantonde, Nakaseke, Nakasongola, and Sembabule. As lead implementation partner, the MAAIF had a key role in the project. Other responsible parties included the Ministry of Water and Environment, Department of Meteorology, who provided the weather monitoring equipment and delivered training.

In addition to the MAAIF, the other Ministries on the multi-stakeholder CSIF platform, notably the MWE, MTTI, MEMD, and MLHUD participated on the Project Board and in SLM task force meetings. The Ministry of Finance, Planning and Economic Development acted as the executing entity.

In addition, farmer groups, in the form of community based organizations were primary beneficiaries. According to the project design, civil society organizations and private sector enterprises engaged in SLM activities would also be involved in the project; however, there was limited participation of these stakeholders during project implementation.

2.7. Expected Results

The two key expected results (impact indicators) were:

1. Local Governments in the target Districts devote significant budgets to SLM.
2. Local communities are deriving increased livelihood benefits from enhanced land management activities.

3. Findings and Conclusions

3.1. Project Design / Formulation

3.1.1. Analysis of Logical Results Framework

Outputs 1 and 2 were designed around the two indicators under the long-term objective of the project, i.e., (1) Districts devote significant budget to SLM, and (2) local communities are deriving increased livelihood benefits from enhanced land management activities. The activities under Output 1 focused on supporting the 6 target districts in completing DEAPs and then integrating priority actions into DDPs. The benefits of implemented SLM interventions were demonstrated in Output 2, through disbursement of small grants to local farmers groups. Output 3 was directed toward central government level capacity building, specifically strengthening the inter-ministerial collaboration as part of the CSIF platform.

The activities included under the three project outputs are listed below.

Output 1: SLM priority interventions integrated in the DDPs and budgets of selected Districts in the cattle corridor.

- Develop SEAPs and DEAPs in the Districts of Lyantonde, Nakaseke, Kamuli and Kaliro
- Integrate priority SLM issues including climate change adaptation issues in SDPs and DDPs of 6 Districts and selected Sub-counties
- Strengthen the capacity of the Districts for SLM monitoring and decision making through appropriate support tools and systems

Output 2: SLM priority interventions identified and implemented by local communities in two (2) target Districts.

- Identify, prioritize and pilot local community livelihood interventions on SLM
- Undertake integrated research on termites

Output 3: The UNCCD/NAP Focal Office and the Inter-ministerial committee on SLM capacitated to manage SLM Country Programmes

- Support Project Management Unit (PMU) to implement the UNDP DDC project component.
- Strengthen the capacity of the UNCCD/NAP Focal Point in MAAIF to coordinate SLM activities at global, national and local levels.
- Strengthen the SLM Inter-ministerial committee and the Country Strategic Investment Framework (CSIF)

A review of the results framework, according to SMART criteria, is presented below.

Indicator	Target	TE Comments
Long term objective: To contribute to sustainable land management and enhance the livelihoods of local communities in the dry lands of Uganda		
Local Governments in the target Districts devote significant budgets to SLM	6 Districts	Not specific (what does "significant" mean?) Not time-bound

Indicator	Target	TE Comments
Local communities are deriving increased livelihood benefits from enhanced land management activities	14 Communities	Not specific (how is "increased" livelihood benefits defined?) Not time-bound Difficult to measure with no baseline
Output 1: SLM priority interventions are integrated in the DDPs and budgets of the six target Districts of Sembabule, Nakasongola, Lyantonde, Nakaseke, Kamuli and Kaliro		
DEAPs reviewed in the Districts of Nakasongola and Sembabule	2 districts	Unclear if the DEAPs were intended to be updated. Not sufficiently time-bound either.
Number of SLM policy papers prepared	2 policy papers	How relevant is this indicator? Should have included more specific indication of linkage to national SLM priorities.
DEAPs prepared in the Districts of Lyantonde, Nakaseke, Kamuli and Kaliro	4 districts	The target was achieved; though not time-bound in the logical results framework.
SDPs and DDPs have visible budgets for SLM	6 DDPs have visible budgets for SLM 2 draft ordinances	The term "visible budgets" is not sufficiently specific. DDPs had traditionally included SLM activities. What was the intended added value of the project?
Computers, motor cycles and weather equipment procured and functioning in the 6 target districts	6 districts	With respect to the weather equipment, more specifics should have been indicated to allow measurement of achievement.
Output 2: SLM priority interventions identified and implemented by local communities in the six target districts		
Number of farmer innovators, farmer networks meetings and exchange visits	At least 3 Farmer/resource users groups (with a minimum of 30 members of which at least 50% are women) per district identified, mobilized and trained	The intent of this activity was to strengthening the capacity of local farmers. Only participation in training does not ensure skill or knowledge retention. A more viable target might have been the number of acres under conservation agriculture by the end of the project.
Number of on-the –ground local community SLM initiatives under implementation	At least 2 on the ground SLM priority community initiatives implemented per District.	Similarly, the number of interventions is not a valid measure of the success of SLM implementation. There should have been more linkage with the target under the project long-term objective, specifically, percent increase in livelihood following implementation of SLM initiatives.
Number of market linkages for SLM friendly products developed	At least 3 market linkages for SLM friendly products developed.	The target lacks specifics, e.g., how have the market linkages improved the income levels of the beneficiary groups.

Indicator	Target	TE Comments
Two research projects on termites completed and M.Sc. theses prepared for submission to the relevant University Faculty	Two research projects	Completion of two research projects is not an indication that the termite problem in the target districts was addressed. A more reasonable target might have been the following: field trials using innovative termite control techniques implemented on at least 5 ha in 2 different districts, and performance monitoring and interpretation of results completed by project closure.
Output 3: The capacity of UNCCD/NAP Focal Point Office and the inter-ministerial committee on SLM strengthened to support SLM Country Programmes		
An inter-ministerial committee supported by a UNCCD NAP Focal point office in place and efficiently functioning	None specified. Assume by end of project.	There was no target identified for this indicator, and the timeframe was unclear.
A National Rangelands Policy and Pastoral Code in place.	None specified. Assume by end of project, endorsed by Project Board.	The term "in place" is unclear. Should the policy have been approved by the end of the project? Who should have approved it?
Printed Final CSIF document in place and Number of CSIF meetings held	None specified. Assume by end of Project.	There was no target identified for this indicator, and the timeframe was unclear.

3.1.2. Assumptions and Risks

The assumptions and risks outlined in the PRODOC are compiled in the table below, along with a discussion of whether they were realized during the project implementation phase.

Risks and Assumptions in PRODOC	TE Comments
Long term objective: To contribute to sustainable land management and enhance the livelihoods of local communities in the dry lands of Uganda	
➢ Local Governments do not prioritise sustainable land management ➢ Local Governments and other key institutions will not commit the resources needed to maintain community initiatives beyond the life of the project ➢ Local communities are not willing to change and adapt to new technologies ➢ Negative political interference	Ownership at the local level was high from the beginning of the project. Central level ownership was slow in initiating, but later proved to be strong. Local politicians, in fact, have aligned themselves with some of the beneficiary groups, after realizing the benefits realized.
Output 1: SLM priority interventions are integrated in the DDPs and budgets of the six target Districts of Sembabule, Nakasongola, Lyantonde, Nakaseke, Kamuli and Kaliro	

Risks and Assumptions in PRODOC	TE Comments
➢ Preparation and compilation of Parish Environment Action Plans not completed by year 1 ➢ DDP processes do not include SLM during budget allocations ➢ Districts neglect maintenance of project equipment and motor cycles ➢ Poor record keeping in the Districts. ➢ Negative political interference. ➢ Limited community participation the project particularly the initial environmental planning processes and thus limited ownership and sustainability.	The DEAP process was time-consuming, and the PEAPs were not fully completed in the first year. DDP processes traditionally have included SLM activities, and the project helped raise awareness among decision makers of the priorities of SLM interventions. Community participation and ownership were high throughout the implementation lifespan.
Output 2: SLM priority interventions identified and implemented by local communities in the six target districts	
➢ Late disbursement of funds ➢ Local communities are not keen participating in the project ➢ Lack of appropriate capacity of service providers to assist the communities. ➢ Inadequate levels of production for dry lands products to meet the market demand. ➢ Poor quality of dry land products which does not meet the market demands. ➢ Research projects on termites do not yield tangible results. ➢ Inadequate time for conclusive research on the subject.	There were indeed delays in disbursing funds to the small grant beneficiaries. Funds were transferred in 2012 Sep-Dec, and subsequent value addition grants disbursed in 2013 Dec. Local participation was high, and production levels at household farm scales were increased substantially with adoption of conservation agriculture techniques. Indeed, the outlined risks associated with the termite research were realized. The limited interventions that were supported by the project yield limited results.
Output 3: The capacity of UNCCD/NAP Focal Point Office and the inter-ministerial committee on SLM strengthened to support SLM Country Programmes	
➢ Inadequate support from the different Ministries that constitute the Inter-ministerial committee on SLM. ➢ Project management weakness as a result of not getting a competent PMU. ➢ Unforeseen delays in finalising with the National Rangeland Policy	The CSIF ministries were actively engaged. There were delays in recruiting the PMU, but the team is qualified and dedicated. The Rangeland Policy was delayed, partly because of the project delays. The policy was completed in 2013 December, thus there was limited time available for stakeholder consultations.

The project maintained a risk log; one shortcoming observed was the lack of sharing "ownership" of risks among project stakeholders, including district officials. The PMU was indicated in most cases as the risk owner.

3.1.3. Lessons from other Relevant Projects

The project was built upon the UNDP-DDC supported SLM mainstreaming project implemented in the Sembabule District. That project facilitated participatory preparation of the DEAP for Sembabule, and promoted integration/mainstreaming of SLM interventions into the district planning processes.

The project also incorporated the experience of the UNEP-UNDP Poverty Environment Initiative (PEI), which included efforts aimed at integrating environmental priorities into DDPs.

Lessons learned on the AfDB-IFAD supported Community Agricultural Infrastructure Improvement Programme, specifically related to agriculture infrastructure and marketing priorities for producers at the local level.

Three of the six target districts (Kamuli, Nakasongola, and Sembabule) participated in the Farm Income Enhancement and Forest Conservation (FIEFOC) project that ran from 2005-2011. Some of the district staff and local community farmers and other residents were sensitized to the efforts made on the FIEFOC project to improve rural incomes, rural livelihoods and food security through sustainable natural resources management and agricultural enterprise development.

3.1.4. Planned Stakeholder Participation

Local communities were the primary beneficiaries of the project. Through the extensive and inclusive DEAP process, the project facilitated bottom-up outreach, starting at villages, parishes, sub-counties, and finally up to district headquarters. The capacity building and small grants component of Output 2 also reached out to a large number of local farmers; 24 farmer groups received small grants, 3-5 groups in each of the 6 districts.

The project also was successful in participation of local government officials, ranging from village parish chiefs to sub-county and district administrators. The participatory nature of the DEAP process in the 4 districts of Kaliro, Kamuli, Lyantonde, and Nakaseke, included direct involvement of local government officials, in facilitating public meetings, overseeing the preparation of the DEAPs, and spearheading inclusion of SLM activities into DDPs. The project also facilitated the formation of district level SLM task forces, which, according to interviews with district officials, will continue to operate and champion SLM interventions.

One particular shortcoming that was brought up by district officials was the exclusion of district staff from the final selection process of the small grants. The UNDP and MAAIF were informed of this complaint, and district officials were invited to participate in the selection of the small grants included in the parallel GEF-supported SLM project.

From a central government level, the multi-stakeholder CSIF platform includes representatives from the MAAIF, MWE, MTTI, MEMD, MLHUD, and private sector and civil society organizations. Representatives from the 5 participating ministries were interviewed during the evaluation mission, and each stressed confidence that this inter-ministerial collaboration structure will continue to function after project closure, and they outlined how this involvement has helped them better integrate SLM into policies and strategies in their respective ministries. There was limited evidence available to the evaluation team of inclusion of private sector and civil society organizations in the multi-stakeholder CSIF platform.

3.1.5. Replication Approach

The project design contained a high degree of replication potential. For instance, the district planning assistance could be replicated in other districts in the Cattle Corridor, and also in other parts of the country. One of the benefits of the effective capacity building delivered for the district coordinators is that these district officers have become SLM champions, and their expertise and experience could be used to assist other districts in their efforts of mainstreaming SLM in their district development planning processes.

The small grants component was mostly designed as a demonstration of how livelihoods can be enhanced through implementing sustainable agriculture techniques; and scaling up and replication was the one of the underlying objectives. Replication of viable techniques was facilitated through the organized and informal farmer-to-farmer interactions.

3.1.6. UNDP Comparative Advantage

One of the main comparative advantages of the UNDP was their over 40-year track record supporting drylands development. Through their Drylands Development Centre (DDC), the thematic centre of UNDP dedicated to fighting poverty and achieving sustainable development in the drier regions of the world, UNDP's network of country offices in 17 countries of Sub-Saharan Africa and the Arab States, assists countries to design and manage integrated drylands development programmes and promotes capacity strengthening of communities and individuals at the local level.

Through the institutional strength of the DDC and UNDP's long-standing support to Uganda a variety of developmental issues, the UNDP was in a strong position to act as implementing agency and backstop the activities of the lead implementation partner, the MAAIF.

3.1.7. Linkages between Project and other Interventions

One of the goals of the CSIF is to integrate all country SLM initiatives under a harmonized platform, in order to improve coordination and also to achieve a more programmatic approach for implementing SLM interventions. Under this framework, the project was run more or less in parallel with the GEF-supported "Enabling Environment for SLM to Overcome Land Degradation in the Uganda Cattle Corridor" project. The GEF project has complimentary outcomes, including improvements to SLM policies and regulatory frameworks, e.g., for issues dealing with land tenure; sustainable charcoal production; land use planning; improving livestock mobility; and develop innovative incentive schemes, e.g., through farmer insurance. The two projects shared the same project management unit and Project Board.

3.1.8. Management Arrangements

The project was executed under a national implementation modality (NIM), with the MAAIF acting as lead implementation partner. The Project Board was responsible for providing overall guidance and direction to the project; it was also responsible for making, by consensus, management decisions for the project when such guidance was required by the Project Manager, including making recommendations to UNDP and the Lead Implementing Partner to approve project plans and revisions. The project management unit (PMU) consisted of a project manager, technical advisor, and a finance assistant.

Management arrangements and project assurance was shared between the project and the GEF supported SLM project, as illustrated in the organization chart compiled in **Exhibit 7**.

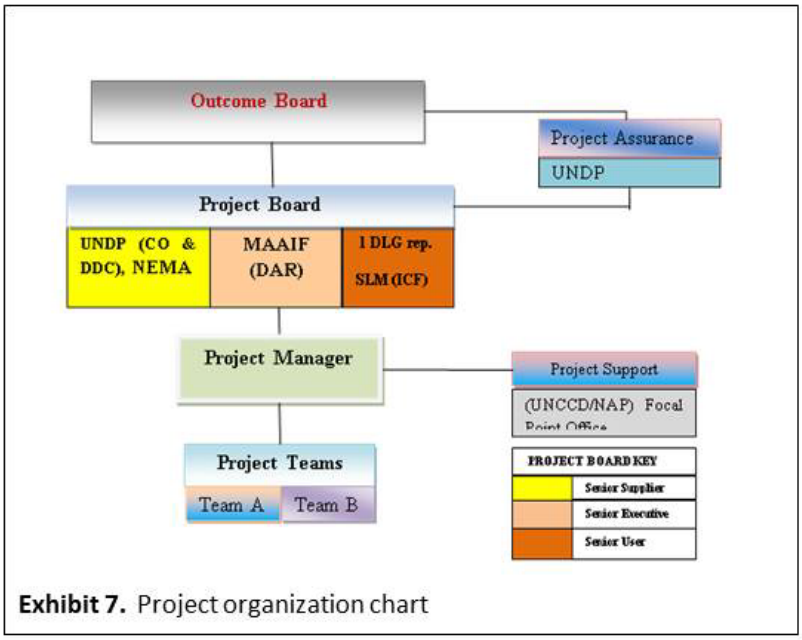


Exhibit 7. Project organization chart

3.2. Project Implementation

3.2.1. Adaptive Management

Adaptive management measures were implemented over the course of the project, as circumstances changed and more information became available. One of the most constructive measures implemented was the decision to use community procurement procedures for the small grants component rather than district procurement. This change improved efficiency and also resulted in a higher level of empowerment among the beneficiaries. Efficiency during the second half of the project was also improved by adapting the implementation modality, allowing the UNDP to make direct payment transfers to responsible parties, rather than going through the MAAIF procedures.

The multi-stakeholder CSIF platform suggested that the Rangelands Policy included in the project list of activities include a Pastoral Code. This was a good example of proactive country ownership, and efficient inter-ministerial collaboration.

The plan to establish roadside markets in each of the 6 target districts was not implemented, and rather additional funding was provided to farmers groups for value addition, which would better enable them access to market. This was a rational change, firstly in considering the under-estimated costs associated with establishing roadside markets. The project budget included 18,000 USD for this line item (total, for all 6 districts). According to experience shared by the Ministry of Local Government on the AfDB-IFAD Community Agricultural Infrastructure Improvement Programme, the minimum cost for building roadside markets was UGX 120 million (approx. 49,000 USD). Furthermore, the issue of unclear land rights further complicated establishment of roadside markets.

Project management realized early on in the implementation phase that funding M.Sc. research on termite control would not be realistic within the timeframe of the project, due to lengthy procurement requirements. Resources allocated for this activity were instead used to support farmer exchange visits to the Kamwenge District of Uganda, where NARO had been running

successful field trials. The project subsequently financed implementation of field trials in the Kamuli and Nakasongola Districts, where the termite problem is particularly acute. This was a sensible adaptive management response; however, the project has inadequately closed out this activity. Even though the results of the trial were limited, documenting lessons learned would be useful for other practitioners and also provide documented evidence of how these funds were spent.

The MET department also needed to adapt the plans for delivering automatic weather stations in each of the 6 districts. This change seemed to be in response to a design oversight, with respect to cost, and also inefficient coordination. Overall, this was an unsuccessful adaptive management response, as only 2 stations ended up being installed and an additional 36 rain gauges. The main shortcoming was the lack of a strategy for ensuring timely collection and dissemination of the weather data.

With respect to the logical results framework, there was insufficient focus on clarifying targets and identifying monitoring metrics. Such adaptive management adjustments should have been addressed at the inception phase.

3.2.2. Partnership Arrangements

The project did a reasonably good job in ensuring that partnership arrangements were in place. There were significant delays in developing the memorandum of understanding between the lead IP and RPs, but by the second half of the project the partners had formed a constructive working relationship, e.g., evidenced through the agreement that UNDP would make direct payments to some of the responsible parties, in order to save time from going through the more cumbersome MAAIF procedures.

There were memorandums of understanding between the MAAIF, NEMA, MET, and the beneficiary districts, for defining roles and responsibilities of the partners in assisting the districts with DEAP preparation and provision of monitoring capacity. Generally poor coordination by the MET might have been corrected through more proactive intervention by the lead implementation partner, the MAAIF.

The grant agreements between the beneficiary farmer groups and the MAAIF were thorough, and generally regulated effective execution of the agreed activities. There were a few cases of groups having difficulties implementing their work plans, some others were slow in starting up, but overall, the groups performed quite well.

3.2.3. Feedback from M&E Activities used for Adaptive Management

The Project Board met 8 times between the inception workshop in 2011 August to the terminal evaluation debriefing on 2014 January 24. Adaptive management issues were discussed and agreed upon during these meetings. Feedback from M&E activities was also followed up through the annual progress reports, and through informal meetings and discussions among the PMU, UNDP, MAAIF, and district coordinators.

3.2.4. Project Finance

Comparing budgets in annual work plans with actual expenditures reported in combined delivery reports, financial delivery rates generally improved over time, ranging from 37% in 2010 to 73% in 2012 and 71% in 2013 (see **Exhibit 8**).

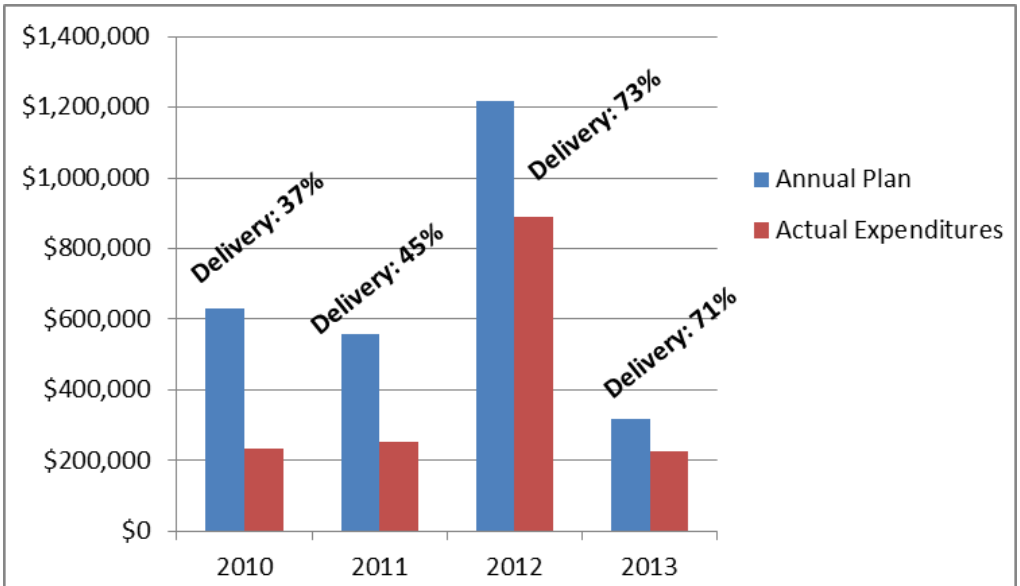


Exhibit 8: Comparison of planned vs. actual annual costs

One of the reasons delivery rates improved over time was the adaptive management measure agreed upon between the UNDP and MAAIF, in that the UNDP would transfer funds directly to responsible parties, including districts, rather than having the MAAIF make these transactions through their, more cumbersome system. According to UNDP staff, 61% of the money spent in 2013 was transferred directly by UNDP to responsible parties. This arrangement resulted in a more timely flow of funds and overall better project performance. The decision by the project to use community procurement procedures, i.e., direct payments to beneficiary accounts, for the small grants component of the project also proved to be efficient, particularly since these activities were late in starting and funds need to be disbursed in time, allowing sufficient time within the agricultural growing season timeframe.

Financial management on the project was found to be satisfactory. The project had a full-time financial assistant, who maintained activity-based accountancy records. These were much more useful in evaluating project expenditure history than the combined delivery reports, in which it was difficult for the evaluation team to match reported expenses to project activities.

One financial audit report, made by the Uganda Office of the Auditor General for the year ended 31st December 2012, was provided to the evaluation team. The audit clause in the project document is a bit unclear, but the evaluation team understands that annual audits were planned. The 2012 audit report outlined one shortcoming, indicating that it was difficult to ascertain whether fuel drawn on prepaid cards were used only for project activities.

With respect to co-funding, a sum of USD 23,040 was committed to be spent by the Meteorology Department (MET) of the Ministry of Water and Environment on weather monitoring equipment. According to information provided by the MET to the evaluation team, a total of USD 12,867 was expended by MET, or roughly 55% of the co-funding amount indicated (see **Exhibit 9**).

Exhibit 9: Cost Breakdown of Weather Monitoring Equipment and Capacity Building					
Item		Agency Contribution		Sub-total	
		MAAIF	Meteorology		
1	Establishing 36 Rainfall stations and Training of 72 Data recorders	UGX 47,718,000	UGX 17,370,000	**UGX 65,088,000**	**USD 26,567**
2	Strengthening capacity of 72 SLM Rainfall Data Recorders	UGX 9,443,000	UGX 2,160,000	**UGX 11,603,000**	**USD 4,736**
3	Establishing 2 Weather Information Centres in 2 Districts	UGX 26,000,000	UGX 11,995,000	**UGX 37,995,000**	**USD 15,508**
Total		**UGX 83,161,000**	**UGX 31,525,000**	**UGX 114,686,000**	**USD 46,811**
		USD 33,943	**USD 12,867**		

Source: MET, Jan 2014

In addition to the funds from the MET, the project contributed an additional USD 33,943 on weather monitoring equipment and capacity building. At the end of the project, there are a number of shortcomings regarding this activity of the project; including, installation of only 2 automatic weather stations instead of 6; inconsistent record keeping in the field due to unclear payment arrangements between the MET and the recorders; no methodology worked out regarding the content and dissemination of information to end users; and weak evidence of sufficient budget allocation for operation and maintenance. All in all, the value-for-money measure of this activity is considered to be low.

3.2.5. Monitoring & Evaluation

Monitoring & Evaluation design at entry is rated as: Satisfactory

The M&E plan outlined in the project document was fairly robust, including an outline of project reporting, issue log, risk analysis, and overall project assurance. There were line items in the budget breakdown for mid-term and terminal evaluations, but the budget allocation for M&E activities was not clearly outlined in the project document.

Monitoring & Evaluation implementation is rated as: Moderately Satisfactory

The project inception (report dated August 2011) was completed more than 2 years after the project document was approved (April 2009). The inception report did include a discussion of the changes in certain social and macro-economic circumstances over that period, but there were not changes or clarifications made to the logical results framework, e.g., some of the targets remained unclear, such as the percent increase in livelihoods for the target communities. Also, the details regarding the weather monitoring equipment to be provided by the MET was not worked out, nor was the plan for termite research.

The annual work plans provided good summaries of activities that had been completed during the reporting period, and provided logical justification for plans for the subsequent year. In general, however, there was limited focus on the intended results of the project, specifically:

- Local Governments in the target Districts devote significant budget to SLM; and

- Local communities are deriving increased livelihood benefits from enhanced land management activities.

Through the district coordinators, the project had sufficient monitoring capacity for regularly assessing progress toward achievement of these indicators. But, the coordinators were more engaged in monitoring the "process", i.e., implementation of the small grants activities, than they were in monitoring progress toward results. There is evidence in the district annual work plans and the DDPs that budget has indeed been allocated for SLM related activities, but there was no specific SLM tally, as activities were spread among different sectors in the districts. And, there was limited evidence available regarding how much of the actual money allocated was expended.

Similarly, the project carried out baseline assessments of the groups who received the small grants. But, there was no evidence that these assessments were followed up, i.e., monitoring the progress made as a result of the capacity building and grant assistance.

A mid-term evaluation was carried out in 2013 Jan-Mar, which was the last year of project implementation. By the end of 2012, nearly 85% of the project budget had been spent, so the value of a mid-term evaluation held in early 2013 was somewhat restricted. Project management did respond to some of the recommendations of the mid-term evaluation, and adjustments were made to improve overall project performance; including the following:

Mid-Term Evaluation Recommendation	Management Response	TE Comments
Use the ecosystems approach to address SLM issues as proposed by the UNCCD	Partly agree, because in some cases has already been done	The small grants had mostly already been issued in 2012. The UNDP-GEF SLM Enabling project is piloting land use planning in two districts; thus a more ecosystem approach is being considered in these activities.
A general solution to the disharmony of fund release policies between UNDP and MAAIF leading to late disbursement of funds	Already done	This was one of the more successful adaptive management measures implemented by the project.
The Central and Local Government could be on the project board for continuity which is not got from rotating CAO from different districts all the time a board sits	The observation is right, but it had not been inbuilt into the project management design.	Representation by the district authorities was found to be satisfactory, and the continuation of the activities of the district level SLM task forces seems likely.
Preserve sovereignty of local communities through integration of indigenous knowledge and establishment of seed banks	Shall be mainstreamed into the initiatives to promote climate smart agriculture.	The activity of weather forecasting was unsatisfactorily realized during the project. An upcoming GEF-funding climate change early warning project might take up some of these unfinished activities, and inclusion of traditional weather knowledge should be considered. With respect to promotion of indigenous seed and establishment of seed banks,

Mid-Term Evaluation Recommendation	Management Response	TE Comments
		these issues were also discussed during the project inception workshop. The small grant activities were more or less pilot demonstrations of how livelihoods can be diversified and increased. The issues of indigenous seed and preservation of climate-resistant varieties should be addressed by both district and central level planners, and highlighted in DEAPs and DDPs.
Hand over the meteorology component of the project to the new project on strengthening climate information and early warning systems.	Agreed, and had already started on training communities on seed selection, management and preservation.	This recommendation is still valid, and there is a possibility that the GEF-funded project on climate change early warning will take over the weather forecasting activities on this project.
Inadequate inclusion of science into project interventions (like soil physics into evaluation of the effectiveness of land management technologies like basins, breeding science into seed selection, geography and soil science into land degradation assessments	Whereas the project is not basically research focused, the recommended sciences are already engaged but that cannot be easily picked from farmers.	At project closure, the work that was done on both termite research and weather monitoring should be compiled into final reports, including lessons learned, which would be useful for similar activities on following up projects.
Absence of a risk management plan for the project	Partly agreed, but regular identification of project risks and update in atlas was undertaken	In review of risk management activities completed, one shortcoming was the allocation of risk ownership. For example, the district level authorities should have been more involved and held responsible for mitigating risks within their control.
Inadequate M&E and reporting for the project	Partly agreed.	In the opinion of the terminal evaluation team, monitoring was fairly weak during project implementation, and there was limited focus on results.

3.2.6. UNDP and Implementing Partner Implementation / Execution

UNDP Execution is rated as: Satisfactory

The UNDP staff and management were actively engaged in the project. UNDP provided professional support and back-stopping to the project management unit, and facilitated partnership arrangements with the lead implementing partner and other responsible parties.

The delay in implementation in the first half of the project, 2010-2011, seems to have been partly due to institutional staff changes at the UNDP, i.e., staff that were involved during the project preparation were not with the agency at the time of project approval. Recruitment of the project management team was somewhat delayed due the restructuring of the country office which disrupted projects' implementation.

Although efficiency improved during the second half of the project, 2012-2013, the delays experienced in the beginning of the project affected the overall achievement of the project outcomes, i.e., there was limited time for monitoring/mentoring district officials in ensuring SLM activities are integrated into district planning mechanism. DDPs are harmonized to the 5-year national development plan horizon, so not all of the districts had completed reviews of their DDPs during the lifespan of the project. Also, local beneficiaries, particularly farmers, would have further benefited from support from the project in realizing value addition benefits (grants disbursed in 2013 December, the last month of the project) and monitoring livelihood improvements catalyzed from the first round of small grants in 2012-Q4, e.g., through a few additional growing seasons. The Rangeland Management and Pastoralism Policy was completed in 2013 December, allowing limited time for stakeholder consultation. And, the CSIF had not yet been officially launched by project closure in 2013 December.

Furthermore, there was the limited focus on results during project implementation. There were project design shortcomings, e.g., unclear targets, but these were not adjusted or corrected at the project inception phase. Monitoring capacity was in place, e.g., district coordinators, but monitoring efforts were more directed toward the process and less so on results.

Implementation Partner Execution is rated as: Satisfactory

At the end of the project, country ownership seemed rather high. Stakeholders from the MAAIF and other responsible parties were actively engaged in the project, and through a memorandum of understanding with UNDP, the MAAIF agreed that UNDP would transfer some of the payments directly to the responsible parties. This arrangement improved project efficiency in the second half of the implementation timeframe, 2012-13.

According to testimonial evidence obtained during the evaluation mission, the delays in the first half of the project, 2010-11, were also partly a result of the lack of cooperation with the MAAIF. Arranging a meeting with the earlier UNDP country director and the MAAIF Permanent Secretary took 4 months, at a time when it was imperative to operationalize the partnership arrangement.

The general subpar performance of the MET with respect to the weather monitoring component is also partly attributed insufficient supervision by the lead implementation partner, the MAAIF. As Executive of the Project Board, the MAAIF should have been more proactive in ensuring better delivery of the weather monitoring equipment and development of clear strategies for data collection and dissemination.

3.3. Project Results

3.3.1. Achievement of Objective and Outcomes: Effectiveness

The overall achievement of the project Objective and Outputs is rated as: Satisfactory

The level of achievement of the project objective and outcomes was evaluated based on the progress made towards achieving the targets on the indicators set out in the logical results framework. Achievement of targets under project outputs was evaluated based upon evidence

obtained during the evaluation mission and weighted against the proportion of money spent for the respective activities. Ratings are color code according to the following criteria:

Qualitative Rating	Output Achievement Score
Highly Satisfactory Achievement	**90 – 100**
Satisfactory Achievement	**80 – 90**
Moderately Satisfactory Achievement	**70 – 80**
Moderately Unsatisfactory Achievement	**60 – 70**
Unsatisfactory Achievement	**50 – 60**
Highly Unsatisfactory Achievement	**<50**

Project Objective:	Overall Rating:
To contribute to sustainable land management and enhance the livelihoods of local communities in the dry lands of Uganda	**Satisfactory**

Objective Indicator	Target	Achievement Rating
Local Governments in the target Districts devote significant budgets to SLM	6 districts	Satisfactory
Local communities are deriving increased livelihood benefits from enhanced land management activities	14 communities	Satisfactory

The evaluation team considered that there was sufficient evidence to rate achievement toward the project object as satisfactory, even though the targets for the two objective indicators were not defined. For example, the term ""devote significant budgets to SLM" is not quantified. How much of the district budget devoted to SLM is considered significant? Similarly, what increase in livelihood benefits from enhanced land management activities is determined to be satisfactory?

Target Districts Devote Significant Budgets to SLM:

The lack of specific targets was also reflected in the relatively weak monitoring of project results. According the CSIF[1], "a limiting factor in Uganda is that there is no central point where one can get a good grasp of the flows of funds to SLM". This is consistent with observations the evaluation team had when interviewing district officials and reviewing DDPs. There are SLM activities in the DDPs, spread across different sectors, but there is no tally of all SLM interventions, nor is there an agreed set of criteria for characterizing SLM activities. For example, construction of boreholes might mostly benefit human consumption needs, but some of the installed water supply will be used for livestock and possibly also cultivation. In order to track expenditures devoted to SLM in the country, it is imperative that a common approach is adopted at the district level.

An example is the district of Kamuli. This district has a DDP for the period covering 2010/11-2014/15, and the annual DDP review for the year 2012/13 was reviewed by the evaluation team. The district coordinator for the project informed the team that in 2012/13 there were UGX 17

[1]Multi Sector Joint SLM Portfolio, March 2010.

million (approx. USD 7,000) expended for planting tree seedlings in forest reserves, and funding was provided from local revenue sources. In reviewing the 2012/13 DDP annual review, the amount of money allocated for SLM related activities is much greater.

In reviewing the Agriculture Sector DSIP, sustainable land management is indicated as a separate line item in the idealized budget for the period 2010/11-2014/15 (see **Exhibit 10** below).

Sub Programmes	2010/11	2011/12	2012/13	2013/14	2014/15	Total	%
Production and Productivity							
1.1 Agricultural technology development	62,712	69,308	73,810	70,189	68,024	344,043	12.6
1.2 Agricultural advisory services	126,424	141,835	147,368	153,177	159,279	728,082	26.7
1.3 Pest and disease control	41,010	43,160	46,898	48,174	56,379	235,621	8.6
1.4 Sustainable land management	13,700	15,000	20,360	24,212	30,094	103,366	3.8
1.5 Water for agricultural production	32,000	41,600	50,210	52,331	54,464	230,605	8.4
1.6 Promotion of labour saving technologies	5,400	9,600	9,100	9,100	8,100	41,300	1.5
1.7 Agriculture in Northern Uganda	10,781	11,860	13,045	14,350	15,785	65,822	2.4
1.8 Strategic enterprises	25,000	25,000	25,000	25,000	25,000	125,000	4.6
Sub Total	317,027	357,363	385,792	396,533	417,125	1,873,840	68.6
Market Access and Value Addition							
2.1 Regulatory services	31,500	34,650	38,115	41,927	46,119	192,311	7.0
2.2 Inputs and stocking materials	15,255	16,781	18,459	20,304	22,335	93,133	3.4
2.3 Increased value addition	45,000	49,120	54,532	59,485	65,734	273,871	10.0
2.4 Rural market infrastructure	10,000	11,000	12,100	13,310	14,641	61,051	2.2
2.5 Promotion of collective marketing	10,420	11,462	12,608	13,869	15,256	63,615	2.3
Sub Total	112,175	123,013	135,814	148,896	164,084	683,981	25.0
Enabling Environment							
3.1 The policy framework	500	750	500	500	500	2,750	0.1
3.2 Enhanced policy and planning capacity	7,290	8,019	8,821	9,703	10,673	44,506	1.6
3.3 Public education	1,500	1,650	1,815	1,997	2,196	9,158	
3.4 Enhanced coordination in the sector	2,500	2,750	3,025	3,328	3,660	15,263	0.6
3.5 Agricultural statistics	3,340	3,674	4,041	4,446	4,890	20,391	
3.6 Establishment of climate change capacity	3,500	3,850	4,235	4,659	5,124	21,368	0.8
Sub Total	18,630	20,693	22,437	24,631	27,044	113,435	4.2
Institutional Strengthening							
4.1 MAAIF and Agencies strengthened	1,200	3,130	2,927	2,828	2,934	13,019	0.5
4.2 MAAIF HQ relocated to Kampala	2,643	3,632	5,681	3,687	432	16,074	0.6
4.3 Productivity of sector personnel increased	6,260	6,890	7,000	5,310	5,490	30,950	1.1
Sub Total	10,103	13,652	15,608	11,824	8,856	60,042	2.2
Grand Total	**457,935**	**514,720**	**559,651**	**581,884**	**617,109**	**2,731,299**	**100.0**

Exhibit 10: Summary of "Ideal" DSIP Budget, UGX million (excerpt from DSIP 2010/11-2014/15)

Other items in this budget breakdown, including agricultural technology development, agriculture advisory services, pest and disease control, water for agriculture production, inputs and stocking materials, increased value addition, promotion of collective marketing, can be considered as sustainable land management interventions, in part or in some cases in whole. Decision makers need to clarify what constitutes sustainable land management.

Considering again the example of the Kamuli District, the total annual budget for FY2012/13 for was a bit more than UGX 26 billion (approx. USD 10.7 million), of which 97% was from central government transfers, and only UGX 278.54 million (approx. USD 113,700) from local revenue sources (see table below).

Summary of DDP Funding, FY2012/13, Kamuli District		
Central Government Transfers	**UGX**	**USD**
Recurrent budget	21,299,396,134	8,693,631
Development budget	3,965,842,522	1,618,711
Sub total	**25,265,238,656**	**10,312,342**
Local Revenue	278,540,000	113,690
Donors	517,424,229	211,194
TOTAL	**26,061,202,885**	**10,637,226**
Source: DDP FY 2012/13, Kamuli District		

Included in this annual total was UGX 1.35 billion (approx. USD 551,000) NAADS services, which mostly include agriculture advisory services and provision of inputs to farmers. This line item alone is 5% of the total annual budget, and much of the NAADS funds could be attributed to SLM.

In addition, there were UGX 1.265 billion (approx. USD 516,000) in development funds, nearly half the total, earmarked for the agricultural production and marketing sector. And, much of the UGX 68.4 million (approx. USD 28,000) of the non-wage production and marketing budget was allocated for control of pests and diseases for crops and livestock.

The water sector budget included construction 23 boreholes for UGX 363 million (approx. USD 148,000) and 6 motor-drilled shallow wells at UGX 49.5 million (approx. USD 20,000). These water supply investments will partly benefit the agriculture sector, so some of these funds can also be attributed toward SLM.

All in all, up to 10% of the annual Kamuli budget for FY2012/13 could be considered SLM related activities. This is a significant proportion of the total annual budget. Districts have traditionally implemented SLM activities and it would be unfair to credit the SLM related line items described above to the SLM Main project, but the project did have a clear impact in strengthening the capacity of district level decision makers in recognizing the cross-cutting importance of SLM in ensuring sustainable social and economic development.

Local Communities are Deriving Increased Livelihood Benefits:

As part of the terminal evaluation, a limited livelihood assessment was carried out among a sample of the targeted beneficiary groups. The intention of the assessment was to validate livelihood monitoring data collected by the project. However, although baseline livelihood assessments were made in 2012 December, when the small grants were disbursed, there was no evidence of livelihood monitoring after the activities were implemented.

Among the 24 beneficiary groups, at least 2 members from 13 of the groups were interviewed during the evaluation mission in 2014 January, to obtain an approximation of livelihood benefits realized through enhancements in land management facilitated by the project. A more detailed summary of the assessment is compiled in **Annex 6,** and the results are summarized below.

Prior to project support, the most important livelihood asset among the surveyed households was nature capital, particularly their agricultural land. Human capital was considered their next most valuable asset; they have considerable traditional knowledge that has enabled them to adapt to

the rather limiting conditions of the cattle corridor. They were members of farmer groups beforehand, so they had a degree of social capital. Their physical and financial assets were limited, e.g., many of the households lacked the means for harvesting rainwater, and women and children were spending considerable amounts of time and energy fetching both water and firewood. The estimated distribution of livelihood assets before and after project support is depicted in **Exhibit 11** below.

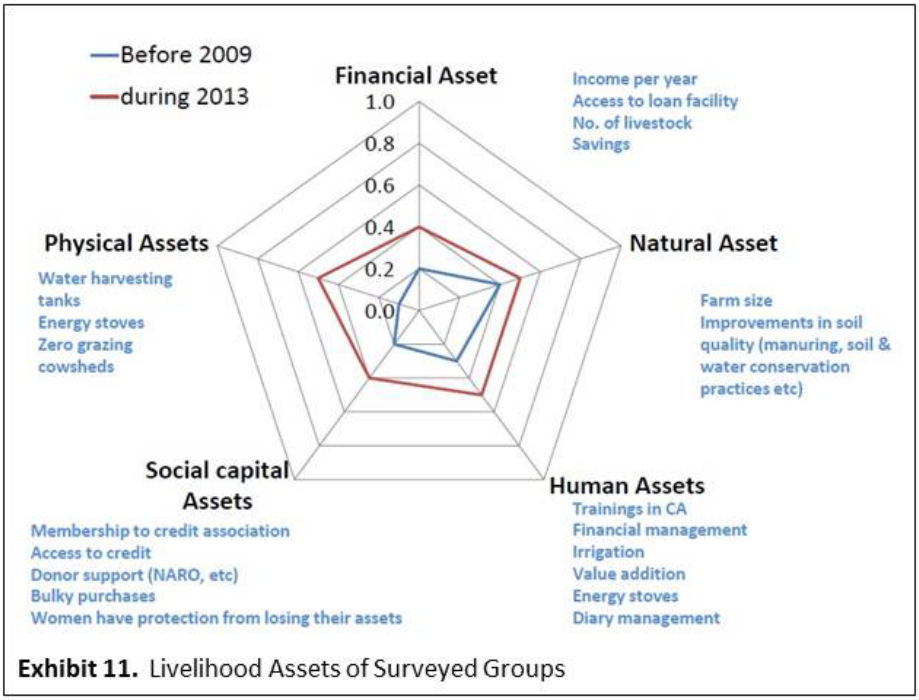


Exhibit 11. Livelihood Assets of Surveyed Groups

There were clear benefits among each of the analyzed livelihood dimensions. The main result seems to have been a more even distribution of their assets afterwards. With implementation of conservation agriculture, soil fertility will likely eventually increase and consequently, their land will become more valuable. This is a long-term process, so that is why a relatively small incremental improvement is shown for nature capital. Human assets increased significantly, through the capacity building the farmers received through exchange visits and field demonstration of sustainable agriculture. Nearly each of the interviewed groups indicated that the financial management skill training facilitated by the project was very useful, and this has substantially increased the capacity of the groups, so there clear gains in social capital.

In terms of physical assets, such as livestock, water harvesting tanks, bio-gas units, the impact on household livelihood was immediate, and hence this dimension is shown to have increased the most proportionally. There were also significant improvements in terms of financial assets, fund raising capacity increased with their enhanced capital gains, income from cash crop sales increased, their income security also was improved through diversification of the types of crops grown.

In terms of household income, some of the interviewed households indicated that they have been able to nearly double their income through increased productivity, additional sources of revenue, e.g., through milk sales, and also due to diversification of crops cultivated. There were, however, signs of the challenges associated with some of the introduced land management techniques. For instance, 3 of the 9 households visited with zero-grazing cows were not coping with the high level of inputs (feed and water) required, and the animals were observed out of the pens and in pastures. Continuation of conservation agriculture partly requires ample supply of organic

fertilizer (manure), so how these families manage their single livestock will impact their ability to sustain the potential livelihood benefits.

Output 1:

Indicator	Target	Amount Spent	Weighted Cost	TE Estimation of Achievement	Weighted Achievement	Comments
Output 1: SLM priority interventions are integrated in the DDPs and budgets of the six target Districts of Sembabule, Nakasongola, Lyantonde, Nakaseke, Kamuli and Kaliro						
DEAPs reviewed in the Districts of Nakasongola and Sembabule	2 districts	USD 42,143	12%	70%	8%	**Moderately Satisfactory Achievement**
Number of SLM policy papers prepared	2 policy papers					
DEAPs prepared in the Districts of Lyantonde, Nakaseke, Kamuli and Kaliro	4 districts	USD 121,932	35%	90%	31%	**Highly Satisfactory Achievement**
SDPs and DDPs have visible budgets for SLM	6 DDPs have visible budgets for SLM	USD 91,585	26%	80%	21%	**Satisfactory Achievement**
	2 draft ordinances					
Computers, motor cycles and weather equipment procured and functioning in the 6 target districts	6 districts	USD 94,060	27%	60%	16%	**Moderately Unsatisfactory Achievement**
Sub-Total, Output 1		**USD 349,721**			**77%**	**Moderately Satisfactory Achievement**

Achievement of targets under Output 1 is rated as moderately satisfactory. With respect to the districts of Nakasongola and Sembabule, there project design called for review of the existing DEAPs in these districts. Sembabule had completed their DEAP in 2010, as part of an earlier UNDP project on SLM, so it was reasonable that this DEAP was not reviewed under this project. For Nakasongola, their DEAP dates back to 2000, when the district received support from a USAID-funded project. The evaluation team considers it a project shortcoming that the Nakasongola DEAP was not reviewed and updated.

The Rangelands and Pastoralism Policy is considered an achievement towards the SLM policy paper target, and the project did do a good job disseminating the project results through conferences, including the UNCCD COP11 meeting held in Namibia in 2013 September.

The project was also successful in facilitation completion of DEAPs in the districts of Kaliro, Kamuli, Lyantonde, and Nakaseke. Priority actions outlined in the DEAPs have, in most cases, been taken upon in District Development Plans (DDPs), with visible budgets for SLM activities. Districts are now required to harmonize their DDPs to the National Development Plan, which is prepared for a 5-year time period. Thus, in some districts, such as Lyantonde, inclusion of the priority DEAP actions are not yet included in their DDP, but there was evidence of discussion during technical planning committee district level meetings.

With respect to enhancing district capacity for decision making and monitoring of SLM activities, the measurable targets were capacity building trainings and equipment, such as motorcycles, computers, and weather monitoring stations. Extensive capacity building was delivered to the district coordinators and other district officials, and the motorcycle and computer equipment were provided. The main shortcoming with respect to this indicator was the weather monitoring capabilities. A total of 36 rain gauges, 6 in each district, were installed, but data recording has been inconsistent, and in some cases the recorders have abandoned their duties, mostly because

of the unclear payment arrangements from the MET. The project design called for automatic weather stations in each of the districts, but only 2 were realized, one in Kamuli and the other in Nakasongola. These were installed during the last days of the project, thus not allowing sufficient time for working out information reporting and dissemination routines. There was no evidence available to the evaluation team indicating how this would be accomplished and what information will be provided to end users.

Output 2:

Indicator	Target	Amount Spent	Weighted Cost	TE Estimation of Achievement	Weighted Achievement	Comments
Output 2: SLM priority interventions identified and implemented by local communities in the six target districts						
Number of farmer innovators, farmer networks meetings and exchange visits	At least 3 Farmer/resource users groups (with a minimum of 30 members of which at least 50% are women) per district identified, mobilized and trained	USD 762,636	97%	85%	82%	**Satisfactory Achievement**
Number of on-the –ground local community SLM initiatives under implementation	At least 2 on the ground SLM priority community initiatives implemented per District.					
Number of market linkages for SLM friendly products developed	At least 3 market linkages for SLM friendly products developed.					
Two research projects on termites completed and M.Sc. theses prepared for submission to the relevant University Faculty	Two research projects	USD 23,573	3%	60%	2%	**Moderately Unsatisfactory Achievement**
Sub-total, Output 2		**USD 786,210**			**84%**	**Satisfactory Achievement**

Achievements under Output 2 are rated as satisfactory. The farmer network meetings and exchange visits were well received, according to interviewed participants and there was evidence at each of the visited farms of adoption of conservation agriculture techniques. The targets listed under the small grants activity were not linked to the overall target under the project objective, i.e., "local communities are deriving increased livelihood benefits from enhanced land management activities". The number of interventions implemented was less important, than how livelihoods could be enhanced by the introduced improved land management techniques. There were clearly livelihood benefits demonstrated, but these were largely unrecorded due to overall weak monitoring.

The support provided through the small grants component, also facilitated market linkages for some of the targeted groups. For example, the food storage building constructed by the Tusubira Women's Group in Nakasongola provide the group greater negotiating power for marketing their products; provision of coolers to groups in Nakasongola and Kamuli for extending the shelf life of yogurt produced; value addition of milling maize realized for groups in each of the 6 districts; and linking a beekeepers in Nakasongola with the Organic Farmers' Association.

With respect to the termite research, financing M.Sc. theses research was found to be difficult to realize within the timeframe of the project, due to procurement requirements. As an adaptive management measure, the project rather facilitated farmer exchange visits for farmers from Nakasongola and Kamuli to Kamwenge district in the west of Uganda where NARO has been running trials of introducing arboreal termites as a deterrent to the subterranean to farms in Kamuli and Nakasongola districts. According to interviewed stakeholders, the number of arboreal termites released was insufficient and funding for monitoring was inadequate for determining the effectiveness of the intervention. The completed termite field trials have not been fully documented, with procedures, monitoring results, and lessons learned. Such a closure document would be useful to practitioners who are considering implementing similar trials.

Output 3:

Indicator	Target	Amount Spent	Weighted Cost	TE Estimation of Achievement	Weighted Achievement	Comments
Output 3: The capacity of UNCCD/NAP Focal Point Office and the inter-ministerial committee on SLM strengthened to support SLM Country Programmes						
An inter-ministerial committee supported by a UNCCD NAP Focal point office in place and efficiently functioning	None specified. Assume by end of project.	USD 338,975	73%	90%	66%	**Highly Satisfactory Achievement**
A National Rangelands Policy and Pastoral Code in place.	None specified. Assume by end of project, endorsed by Project Board.	USD 92,093	20%	80%	16%	**Satisfactory Achievement**
Printed Final CSIF document in place and Number of CSIF meetings held	None specified. Assume by end of Project.	USD 32,338	7%	70%	5%	**Moderately Satisfactory Achievement**
Sub-Total, Output 3		**USD 463,406**			**87%**	**Satisfactory Achievement**

Achievement of the targets outlined under Output 3 is considered satisfactory. Testimonial evidence from representatives from the inter-ministerial CSIF platform overwhelmingly indicated that the work on the task force has been constructive and has helped mainstream SLM in plans, policies and strategies drafted by their respective agencies. Each of the interviewed stakeholders also pointed out that they fully expect the task force to continue functioning after project closure.

This output also included preparation of a Rangelands and Pastoralism Policy; the version available to the evaluation team is dated 2013 December. The target for this activity was not specified, i.e., it is unclear how to measure whether the policy is "in place". The evaluation team concurs that it would have been unreasonable to expect to achieve ministerial endorsement, let alone parliamentary approval by the end of the project. But, it would have been advisable to at least have the Project Board officially approve the policy. In review of Project Board meeting minutes, there does not seem to have been a request for the board to approve the policy before project closure.

The CSIF documentation was mostly finalized in the first half of the project, and the 2011, 2012, and 2013 annual work plans included printing/dissemination and holding a launch of the CSIF. As of 2013 December 31, these activities had not yet been done, although the evaluation team was informed that procurement was completed in December, so that surplus funds can be used to complete these in early 2014. Based upon the delays in starting implementation of the overall project in 2010-11, there seemed to have been a diversion of efforts on activities under Output 3,

and project resources were focused on ensuring that the field activities under Output 2 were implemented.

3.3.2. Relevance

Relevance is rated as: Relevant

The project has made major contributions to mainstreaming sustainable land management at the low level, which is closely aligned with Strategy 4 under the National Development Plan[1], i.e., "Enhance productivity of land through sustainable land use and management of soil and water resources".

Supporting the implementation of Uganda's national action programme (NAP) under the UNCCD, the TerrAfrica Initiative[2] selected Uganda as one of four countries to pilot its approach for up-scaling investments in SLM. One of the cornerstones of the project was the finalization of the Country Strategic Investment Framework (CSIF), which addresses SLM on a programmatic level, not based on individual projects as was the tendency earlier. Completion of the CSIF is a major accomplishment with respect of mainstreaming SLM in Uganda.

The project activities were also closely linked to the Uganda Agriculture Sector Development Plan and Investment Strategy (DSIP): 2010/11-2014/15, the National Environmental Action Plan (NEAP), the Poverty Eradication Action Plan (PEAP), the Plan for the Modernization of Agriculture (PMA), the Environment and Natural Resources Sector Investment Plan (ENR/SIP), and the Comprehensive African Agriculture Development Programme (CAADP).

The project also contributes toward Uganda's efforts in fulfilling the Millennium Development Goals (MDGs), specifically MDG 1 (to eradicate extreme poverty and hunger), MDG 3 (to promote gender equality and empowering women), and MDG 7 (to ensure environmental sustainability). As food security was enhanced with implementation of sustainable agriculture techniques, advances were also made toward MDG 4 (to reduce child mortality rates) and MDG 5 (to improve maternal health).

The activities supported on the project are closely aligned with the goals of the UNDAF[3] for Uganda, specifically under UNDAF Outcome 2: Vulnerable segments of the population increasingly benefit from sustainable livelihoods and in particular improved agricultural systems and employment opportunities to cope with the population dynamics, increasing economic disparities, economic impact of HIV&AIDS, environment shocks and recovery challenges by 2014.

3.3.3. Efficiency

Efficiency is rated as: Moderately Satisfactory

Overall, efficiency is rated as moderately satisfactory. A higher rating was not assigned mainly due to the effects of the implementation delays in the first half of the project. The distribution of actual project expenditures compared to the planned spending pattern outlined in the project document (see **Exhibit 12**), graphically illustrates how more than 50% of the project costs were expended in a single year, 2012.

[1]National Development Plan (2010/11-2014/15), Republic of Uganda.

[2]www.terrafrica.org

[3]United Nations Development Assistance Framework for Uganda, 2010-2014.

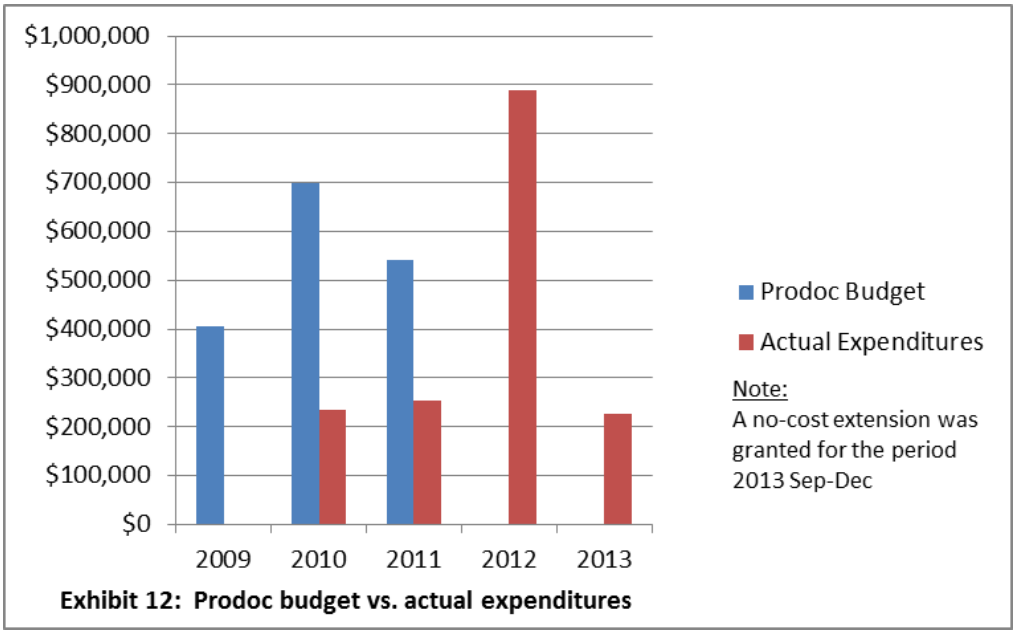


Exhibit 12: Prodoc budget vs. actual expenditures

The delays affected efficiency on a number of levels, including reducing time for farmers to implement conservation agriculture techniques (only one, on some cases two growing seasons); redirecting project resources to the activities of Output 2 (small grants programs) pushed back the progress on some of the work in Output 3, including preparation of the rangelands policy, which was finalized only in 2013 December, and also the launch of the CSIF, which had not yet been made by project closure, even though procurement for facilitating the event and printing of the CSIF documents had been completed.

With respect to incremental cost criteria, the funding of mainstreaming SLM in district planning is considered efficient. Under "business as usual" practices beforehand, SLM activities have been included in district plans, but inclusive planning and targeted budgeting was largely not in place. While the approach promoted by the project, i.e., engaging villages, parishes, and sub-counties in bottom-up participation, is consistent with the general guidelines of the National Environmental Action Plan, the time and cost involved in such a process should be evaluated in terms of both sustainability and efficiency. Central and district level planners need to consider whether this is what is required to "mainstream" SLM at the local level. Without donor support, districts do not have the means to develop environmental action plans on their own. For example, the district of Nakasongola has a DEAP dated back to 2000, when they received support from a USAID-funded project, and they have not since updated the plan, even under this current project. NEMA staff informed the evaluation team that roughly 10% of all districts have developed DEAPs. The evaluation team suggests that the process be rationalized, possibly being implemented according to the spatial boundaries of agro-ecological zones, while ensuring sufficient local participation, e.g., using existing structures, such as sub-county district council meetings.

The incremental costs associated with introduction of conservation agriculture techniques were efficient, in achieving higher levels of production while reducing soil erosion and overall land degradation. Based upon testimonial evidences during evaluation interviews, the farmer to farmer exchanges and the training provided to the beneficiary groups had a notable increase in productivity (and sustainability), compared to the traditional extension assistance of providing inputs, such as planting materials.

3.3.4. Country Ownership

The project concept was directly in line with Strategy 4 under the National Development Plan[1], i.e., "Enhance productivity of land through sustainable land use and management of soil and water resources". Ownership was found to be high both at the local and central government levels. The project was designed to mainstream SLM at the district level planning and budgeting levels. SLM Task Forces were established in each of the 6 districts, and they helped facilitate completion of the DEAPs. The DEAP process also strengthened the parish and sub-county SLM capacities, and SLM benefits were successful demonstrated to farmer groups in the field.

At the central level, the inter-ministerial National Steering Committee composed of Permanent Secretaries of five sectors was strengthened, the National Technical Committee (SLM-NTC) comprised of technical officers from the five sectors also is now a functioning body, and the National SLM Multi-Stakeholder Platform has facilitated finalization of the CSIF. The project also facilitated completion of a Rangelands and Pastoralism Policy, and interviewed MAAIF stakeholders stressed a strong degree of ownership in ensuring this policy to the next phase of ministry endorsement and finally parliamentary approval.

Cross-sectoral influence was demonstrated through evidence provided by officials in the Ministry of Land, Housing, and Urban Development (MLHUD), Ministry of Energy & Minerals Development (MEMD), and the Ministry of Tourism, Trade, and Industry (MTTI). Representatives from the MLHUD indicated that the project had partial influence in the following policies developed over the past 3 years:

1. The Land Sector Strategic Plan II (2013 - 2023) (to be implemented through the Competitiveness and Enterprise Development Project (CEDP) of the World Bank);
2. The National Land Policy; and
3. MLHUD Sector Strategic Plan

The interviewed MEMD official indicated that they have carried out a review of the policy, regulatory and institutional framework for sustainable charcoal production in Uganda, and recommendations are expected soon.

MTTI officers explained that SLM and climate change have been incorporated into the revised Diagnostic Trade Integration Study (DTIS).

3.3.5. Mainstreaming

The project was designed around mainstreaming sustainable land management approaches at the district level, and there is evidence that income generation capacity and consequential land management arrangements have improved among most of the targeted groups in the six districts. Local farmers particularly adopted conservation agriculture techniques, which have shown to increase productivity levels and also enable them to diversify the types of crops planted. Through implementing these more sustainable agriculture practices, the project has contributed to reducing vulnerability of the local communities to climate change and improving their adaptation capability.

The activities supported on the project are closely aligned with the goals of the UNDAF[2] for Uganda, specifically under UNDAF Outcome 2: Vulnerable segments of the population increasingly

[1]National Development Plan (2010/11-2014/15), Republic of Uganda.

[2]United Nations Development Assistance Framework for Uganda, 2010-2014.

benefit from sustainable livelihoods and in particular improved agricultural systems and employment opportunities to cope with the population dynamics, increasing economic disparities, economic impact of HIV&AIDS, environment shocks and recovery challenges by 2014.

With respect to gender inclusion, the project did a good job on a number of fronts. Firstly, the small grants program was deliberately inclusive of women's groups, with the average participation among the 24 supported groups at 50%. At the farmer level, the evaluation team obtained testimonial evidence from interviewed beneficiaries of empowerment of women with respect to improved livelihood capacity and food security. Also, two different groups explained how their groups helped constructively support women against unwanted interference from their husbands, e.g., wanting to sell the livestock acquired with project support. Furthermore, rainwater harvesting, bio-gas energy and other activities implemented by households in the supported groups have direct benefits in improving personal security for women and children, by reducing the amount of time they need are spending fetching resources. This time savings is significant, and allows women and children to focus on other activities, e.g., school studies.

The project team composition was also well represented by women, including the UNDP project officer, the former technical advisor, the project finance assistant, and one of the six district coordinators.

3.3.6. Sustainability

Sustainability is generally considered to be the likelihood of continued benefits after the project funding ends.

Overall, the Sustainability of the project benefits is rated as: Moderately Likely

Development of institutional capacity, both at the district and central levels, has been impressive and this achievement helps ensure the sustainability of project benefits. Inter-ministerial collaboration on the CSIF platform helps ensure that the cross-sectoral nature of SLM will be mainstreamed in policy and economic development decisions. Support from the ATAAS project will help further institutionalize SLM, by significantly increasing advisory services in the country and posting SLM experts in key geographic areas.

Public expenditure on agriculture, specifically SLM, remains low, but there is an upward trend, supported by the institutionalization of SLM through the CSIF platform. Although the project has contributed toward increasing awareness of SLM benefits at the district level, district leaders have limited autonomy with respect to allocation of funds received, and local revenue streams are low. Agricultural producers seem to have reasonable access to financing and their overall fund-raising capacity is fairly strong. Investment in more extensive sustainable agricultural will partly depend upon how land tenure issues are handled in the country, as current circumstances generally discourage investment into soil conservation, tree planting, and other sustainable land management activities.

Financial Resources

The Financial Resources dimension of sustainability is rated as: Moderately Likely

At the local level, fund-raising capacity was found to be fairly strong. There are well-established savings and credit cooperatives, such as the Kasolwe SACCO in Kamuli which has been in operation since the early 1990s and continues to receive seed money in the form of government loans. Several of the interviewed farmer groups were found to have internal revolving funds, some of which are extended to non-members and collection rates have been acceptable. There

remain large numbers of poor farmers who are vulnerable and lack resources to sustain benefits realized through support from the project. For example, 3 out of 9 farmers visited who had zero-grazing cows were not coping, albeit during the dry season, in providing sufficient inputs, only after one year or so from receiving the livestock.

District funding from the central government is constrained, and the high proportion of conditional financing reduces the autonomy of district officials in allocating the available funds. The project did a good job mainstreaming SLM among the target districts, but funding for local interventions has been relatively low. Under the ATAAS project, there are significant levels funding earmarked for agricultural advisory services, building upon the efforts of NAADS. This is one example of a generally increasing trend in public expenditure in agriculture, but government spending in agriculture remains low. In FY 2012/13, budget allocation to agriculture was 3.2%, while recommendations have been made to step up agricultural spending to 10% of the national budgetary allocations.[1]

There are budget shortfalls within other governmental functions. For instance, operation of the rather simple rain gauge infrastructure that was installed could not be maintained over the lifespan of the project, due to unclear payment arrangements between the recorders and the MET. And, interviewed MET officials indicated that their department does not have sufficient funds to maintain the weather monitoring stations in the country; which casts doubt on operation and maintenance of the 2 automatic weather stations built in Kamuli and Nakasongola.

The process of completing District Environmental Action Plans (DEAPs) in the target districts has positively influenced district level decision making processes, and provides a foundation for promoting SLM activities in District Development Plans (DDPs). There was evidence SLM interventions allocated in the DDPs in each of the six target districts, although, the amount of money expended on SLM are relatively low. However, if tallied across sectors, the total is likely considerably more than reported.

With respect to the DEAP process, the sustainability of the approach taken by the project (and according to the general guidelines of the National Environmental Action Plan) should be evaluated by policy makers. The time and cost required to complete the process were significant, and districts are largely unable to complete such a DEAP without donor support. The question is whether or not this is the best approach to "mainstream" SLM at the local level, or whether the process should be rationalized according to available district funding streams. The cost for preparing 4 DEAPs was approximately USD 122,000, which is not particularly high in the context of similar planning in developed countries, but in Uganda, where district funding is limited, this is a significant amount of money.

District expenditures in the DEAP process			
District	**Cost**		**Remarks**
KAMULI	UGX 79,721,971	USD 32,540	1DEAP, 12 SEAPs & 65 PEAPs
KALIRO	UGX 64,745,489	USD 26,427	1DEAP & 6 SEAPs & 31 PEAPs
LYANTONDE	UGX 67,233,317	USD 27,442	1DEAP & 6 SEAPs & 34 PEAPs
NAKASEKE	UGX 87,032,526	USD 35,523	1DEAP & 15 SEAPs & 81 PEAPs
TOTAL	**UGX 298,733,302**	**USD 121,932**	

[1]Agriculture Financing and Sector Performance in Uganda, a Case Study of Donor Funded Projects, 2012, FOWODE.

The CSIF outlines how agricultural development plans provide an enabling environment for payment for ecosystem services (PES), however, there was only limited evidence observed in the target districts of such strategies being implemented. For example, one of the districts provided relief of excise tax on the sale of bio-charcoal. Financial and economic mechanisms need to be established to ensure sustainability of the conservation agriculture and other sustainable uses of ecosystem services.

Socio-Economic Risks

The Socio-Economic Risks dimension of sustainability is rated as: Moderately Likely

The project was successful in demonstrating how social networks can be strengthened with capacity building and relatively little capital support, e.g., in value addition, in terms of food storage facilities, grain processing, etc. Members within the capacitated farmer groups have adopted conservation agriculture, improved their productivities, and have enhanced access to markets through higher value products. Local politicians have taken notice and some have aligned themselves with the groups, to help secure political support.

There are, however, continued social pressures that lessen the likelihood for sustaining the benefits realized through the project. For example, in some of the districts, excise tax levied on charcoal producers paradoxically remains the largest source of local revenue. Perhaps the most significant barrier to SLM progress is the issue of land tenure. The prevalence of absentee landlords receiving rental income from land users, has led to a situation that discourages long-term investment in SLM related interventions, such as soil conservation and tree planting. The project made a significant contribution through supporting preparation of a rangelands policy and pastoral code. However, it will take time before these policies are approved and eventually implemented and enforced in the field.

Institutional Framework and Governance Risks

The Institutional Framework / Governance Risks dimension of sustainability is rated as: Likely

The project has supported significant institutional improvements, both locally and centrally. At the district levels, the capacities of district coordinators, in most cases Environment Officers, have been strengthened, and district decision makers, including Chief Accounting Officers, have been sensitized to the benefits of supporting SLM interventions. Inclusion of SLM activities in District Development Plans and the functioning of district SLM task forces provide solid evidence of operationalizing SLM at the local level.

Output 3 of the project centered on strengthening the inter-ministerial CSIF platform, and also facilitated finalization of the CSIF and preparation of a rangelands policy and pastoral code. One of the earlier shortcomings in Uganda with respect to SLM was that the activities were project-based. Strengthening of the CSIF platform is a significant accomplishment, toward institutionalizing SLM at the central government level.

Environmental Risks

The Environmental Risks dimension of sustainability is rated as: Moderately Likely

The project was formulated around mainstreaming SLM approaches at the local level, and the conservation agriculture and other sustainable land use techniques do contribute to improving soil fertility and local communities' resilience to effects of climate change. For example, planting in basins significantly reduces moisture loss, and there was ample evidence during the evaluation

mission of local farmers adopting and scaling up this and other conservation agriculture techniques.

The impact of pests, vectors, and diseases on both agricultural products and livestock in Uganda is significant, and there is anecdotal evidence suggesting that the impacts are increasing with changes in climate, e.g., prolonged dry periods. In the cattle corridor, damage to crops by termites has been devastating, and controlling this problem is technically challenging and expensive. The project supported field trials of some termite control techniques that have been implemented in other districts in Uganda, but the results were limited and available funds were insufficient to provide a more meaningful influence.

3.3.7. Catalytic Role

The conservation agriculture demonstrations that the project supported through farmer-to-farmer exchange visits and field-level training have had a significant effect on local communities. During the evaluation field mission, in January 2014 , which is more than a year later from when the small grants were disbursed (September-December, 2012), nearly each of the households visited were actively implementing conservation agriculture, mainly due to the increased productivity gains. There was also evidence that households not included in the small grants programs have adopted conservation agriculture, after observing and learning what their neighbors have achieved. Similarly, additional rainwater harvesting tanks have been installed, following the lead of the supported households.

The capacity building of the district coordinators, who are staff officers of the district headquarters, was successful in not only strengthening the knowledge of these individuals, but also mainstreaming SLM at the district level. For example, the district SLM task forces formulated during the lifespan of the project will, according to the coordinators, continue to function and provide advisory guidance to the technical planning committees.

With respect to scaling up some of the approaches promoted through the project, there are several ongoing and upcoming projects and programs. Firstly, under the ATAAS[1] project, support for agricultural advisory services will be significantly increased, including posting SLM experts in district offices. Under NAADS, an estimated 20% of Uganda farmers have benefited, and the ATAAS project aims to increase this to 40-50%, reaching about 1.7 million households. Through the demonstrations supported by the SLM Main project and the capacitated district coordinators, there is a good chance that the sustainable agriculture techniques will be further expanded under ATAAS.

There will be a direct replication and scaling up of the conservation agriculture activities through a USD 971,000 COMESA-funded project, expected to start in 2014 and run for 1.5 years some districts in eastern Uganda.

There is also a new approved GEF-funded project, entitled “Addressing barriers to adoption of improved charcoal production technologies and sustainable land management practices through an integrated approach”. This 4-year project, having a USD 1.8 million budget has a SLM component worth USD 807,500.

Another new GEF-funded project aims to increase the capacity for weather monitoring in Uganda, and the efforts made on the SLM Main project to implement climatological monitoring and information services in the target six districts could be enhanced. The project is entitled

[1] Agricultural Technology and Agribusiness Advisory Services Project, IFAD, USD 665.5 million, http://opertions.ifad.org.

"Strengthening climate information and early warning systems in Africa for climate resilient development and adaptation to climate change- Uganda". It has 2 components:

- Enhanced capacity of the Dept. of Metrology and Dept. of Water Resources Management to monitor extreme weather, hydrology and climate change, worth MUSD 15.9, with USD 2.66 million from GEF.
- Efficient and effective use of hydro-metrological and environmental information for making early warnings and long term development plans, worth USD 9.2 million, with USD 1.15 million from GEF.

The Government of Uganda has also approved a Project Implementation Form for a project to address SLM in the Eastern Highlands of Uganda. The project includes a USD 1.2 million GEF grant, and the design is under preparation. This medium size project is slated to be accepted for implementation funding in 2015.

3.3.8. Impact

Evaluation of project impacts is discussed below, for the two impact indicators.

Impact Indicator	Evaluation Comments	Impact Rating
Local Governments in the target Districts devote significant budgets to SLM.	The project has helped mainstream SLM priorities into the planning process at the target districts, and there is evidence of an increased level of SLM activities allocated in district budgets. But the impact is minimal, as the additionally funded SLM activities are relatively small in scale. There are tendencies in the country in promoting SLM-related activities at the district level, such as significant increases in NAADS funding, so there is potential for significant impact if these efforts are efficiently deployed.	**Minimal**
Local communities are deriving increased livelihood benefits from enhanced land management activities	Among beneficiary households, there were significant benefits on all dimensions of livelihood assets, including financial assets, nature capital, human capital, social capital, and physical assets. The project demonstrated that focused capacity building and limited capital support can yield substantial household level improvement.	**Significant**

4. Good Practices and Lessons Learned

4.1. Good Practices

Some of the activities and approaches deployed by the project are noteworthy as good practices, including those presented below.

Community procurement was efficient and empowering

The decision to use community procurement procedures for the small grants component of the project, rather than district procurement, proved not only to be more efficient in timely flow of funds to the beneficiaries, but also, in most cases, contributed to the empowerment of the farmer

groups. Interviewed farmers overwhelmingly stressed their appreciation for the financial management training received as part of the grant scheme. The small grants interventions not only were effective in demonstrating the benefits of sustainable agriculture, but also increased the cohesion and viability of the groups themselves.

Using existing district staff as district coordinators enhances sustainability

Nominating district level staff as coordinators enhanced the sustainability of project benefits by "keeping" the capacity locally. The coordinators are now much more involved with the decision making process at the district level, acting as champions of SLM activities. Their knowledge in sustainable agriculture has also been enhanced, and most of them continue to provide advisory assistance to local farmers. Finally, their interaction with the farmers groups has provided them (and the district) closer ties with the communities and also more insight into the challenges facing local producers.

Adaptation of RP implementation modality increased efficiency in second half of project.

One of the major challenges in the agricultural sector has been the slow disbursement of donor funds and the consequential slow implementation of interventions.[1] During the second half of the project, the UNDP and the MAAIF agreed that the UNDP would directly transfer funds to some of the responsible parties, rather than going through the more cumbersome MAAIF procedures. This decision increased efficiency during the last 2 years of the project, and also built up trust and improved the collaboration between the UNDP and the MAAIF.

Farmer-to-farmer exchanges were an effective capacity building method

Learning was enhanced through the farmer-to-farmer exchanges facilitated by the project. Interviewed farmers stressed how useful these visits were to them, indicating that it was more effective interacting with farmers in other regions than receiving extension advisory assistance.

Skills training rather than provision of inputs resulted in quick adoption of CA

Conservation agriculture techniques were quickly adopted and, in several cases, scaled up and replicated by local farmers. Productivity gains were realized after only one growing season, and the methods required minimal capital to implement. Traditionally, local farmers have received assistance in the form of input materials. Emphasis on skills training seems to have had a more sustainable impact.

4.2. Lessons Learned

Some lessons learned over the course of the project are summarized below.

Time and cost for DEAP process were significant

The time and cost for completing the DEAP in the four target districts were significant, and somewhat disproportionate with respect to district funding levels.

[1]Agriculture Financing and Sector Performance in Uganda, a Case Study of Donor Funded Projects, 2012, FOWODE.

Stronger emphasis on monitoring required for substantiating results

Generally weak monitoring during project implementation has limited the substantiation of project results, specifically (1) the amount of district funding allocated for SLM and (2) the degree to which local livelihoods were enhanced with improved land management techniques.

Preparedness is Essential for Science-focused and Infrastructure Activities

Thorough conceptualization and an exit strategy should be required for activities involving built-in infrastructure with long-term monitoring demands, e.g., the weather stations. Similarly, preparedness is essential for science-focused components such as the termite research. These activities should have been more thoroughly worked out at the design phase, or at least at the inception phase, to minimize shortcomings associated with insufficient resources and planning.

Co-financing demands for small grants component might have been too low

The fund-raising capacity among the interviewed farmers groups was found to be fairly strong, and, hence, the co-financing demands for the small grants component of the project might have been too low. Low co-financing requirements sensitizes beneficiaries in receiving support with little commitment of own resources.

Selection of grant beneficiaries should also consider human security criteria

While the selection process of the small grant beneficiaries was found to be inclusive and generally fair, it might have been prudent to require groups to provide evidence that human security criteria will be used to decide which of the members of the groups receive the support. For example, rather than randomly selecting among the members, basing selection on household income levels, food security issues, or other such criteria might have ensured that the more vulnerable members of the groups benefited.

Under-estimation of input requirements for improved livestock breeds under zero-grazing

Some of the interviewed beneficiaries of zero-grazing cows indicated that they were unaware of the high input demands of the improved livestock breeds, and were having a hard time coping with feed and water requirements. Introduction of improved livestock breeds in drylands areas should be incremental, due limited feed resources available to maintain high livestock productivity.

5. Recommendations

5.1. Actions to reinforce initial benefits from the project

Assign ownership of the Rangeland Management and Pastoralism Policy

Although interviewed stakeholders stressed confidence that the Rangeland Management and Pastoralism Policy will be taken to the next phase, i.e., endorsement by the MAAIF and eventual parliamentary approval, there was no evidence that a clear strategy is in place. It would be advisable to task the multi-stakeholder CSIF platform with responsibility to assign ownership and ensure that the policy is followed up.

Document results and lessons learned of termite control activities

The termite control activities supported by the project yielded incomplete results, but there are important lessons learned that would be useful to disseminate. We recommend documenting the work that was made, including a discussion of the monitoring results and a thorough explanation of lessons learned.

Develop a strategy for collecting and disseminating weather monitoring data

Weather monitoring equipment was installed as part of the project, but there is no strategy in place for data collection and dissemination of data. Some of the recorders continue to collect rainfall data and send it to the MET, but district level officers have received limited feedback from the MET in terms of reports. Similarly, dissemination of the data collected from the two automatic weather stations is unclear. The needs of the end users (farmers) have not been sufficiently evaluated, and there is no evidence of reporting routines. We recommend preparing a strategy that would outline monitoring requirements, data management responsibilities, and reporting procedures. The cost for operating and maintaining the systems and services should be included in this strategy.

5.2. Proposals for future directions underlining main objectives

The following recommendations are specific actions that might be taken towards future SLM implementation in the country. As the main national-level SLM "champion", the multi-stakeholder CSIF platform should be the body tasked with facilitating implementation of actions aimed at further enhancing application of SLM in the country.

Develop an information management system for tracking SLM activities at the district level

The Agriculture Sector DSIP includes a detailed spending scheme for sustainable land management over the period of 2010/11-2014/15, and there are SLM interventions underway at the district level. However, there are no tracking mechanisms in place to tally up what is actually being implemented. As SLM activities are spread across several different sectors, it would be advisable to develop common criteria for tallying and reporting on SLM interventions.

On a broader scale, there is also a need to better utilize land condition change criteria, which would allow periodic monitoring of the effect of implemented sustainable land management. These criteria cover changes in important biophysical and socio-economic attributes, e.g., through monitoring the following indicators:

- Rates of adaptation and adoption of recommended practices;
- Changes in areas under different land uses;
- Changes in farm management practices;
- Changes in yields and other outputs;
- Changes in the condition of land resources, both positive and negative.

In collaboration with key enabling stakeholders, including the Ministry of Local Government and the Ministry of Lands, Housing and Urban Development, the developed tracking mechanisms should be deployed at the district level, and procedures worked out for reporting, data management, and regular evaluation.

Rationalize the DEAP process to district funding levels and ecosystem scales

Achieving more widespread mainstreaming if SLM at the local level requires a rationalization of the DEAP process, with the goal of ensuring sufficient participation at all levels while addressing more of an ecosystem-scale planning horizon. There are existing planning structures in place at the district and sub-district level, for example, sub-county planning committees. It might be more sensible to use these structures for ensuring sufficient outreach to the villages and parishes, rather than preparing individual parish environmental action plans. Also, using an ecosystem approach, e.g., according to the eco-agricultural zones established already, would enable more sensible land use planning and potentially more sustainable economic development.

Engaging experts from NEMA and other key stakeholders, a critical review of the national legislation on environmental action planning should be carried out and a set of DEAP guidelines developed that are based upon a more ecosystem approach and match local financing capabilities. The parallel GEF-supported SLM project is carrying out pilot land use planning in two of the target districts. Such land use plans would provide a framework for district development plans, and be formulated more on an ecosystem level, e.g., taking into account soil characteristics, favorable cropping areas, etc.

Develop guidelines for district level bye-laws that incentivize SLM practices

Utilizing some of the lessons learned on this project, e.g., the quick adoption of conservation agriculture and the immediate benefits of rainwater harvesting, NEMA and other enabling stakeholders should develop a set of guidelines for bye-laws that could be rolled out at the district level. Through such bye-laws, incentives for implementing SLM practices could in effect be operationalized, through payment for ecosystem services schemes, tax relief programs, etc.

Utilize the reach and scope of NAADS for innovative SLM capacity building

Both the reach and scope of NAADS extension services at the local level are undergoing significant expansion, e.g., through the ATAAS program. Some of the successful approaches deployed on this project, such as farmer-to-farmer exchanges and conservation agriculture training, could have a wide impact on a national scale if there was a concerted effort to share lessons learned and develop targeted capacity building programs that could be integrated into the NAADS plans and procedures.

Environmental safety of agrochemicals should also be stressed along with training on improved agricultural practices. The district NAADS coordinators seem to be best positioned to lead these trainings, as part of their extension advisory services.

Leverage the fund-raising capacity of local farmers

Local farmer groups were found to have relatively strong fund-raising capacity, but due to a variety of constraints, including lack of information and traditional ways of operating, their financing potential is generally under-utilized. Setting up a SLM fund administered through a partner organization that is well-positioned in the country and has existing linkages to SACCOs and other micro-financing institutions, might catalyze increased funding of SLM activities at the local level. Loans from the fund could be offered at reduced interest rates, provided that certain criteria are met to ensure the activities do indeed result in improved land management.

5.3. Program management recommendations

Better utilize the inception phase to sort out project uncertainties

The inception phase should be better utilized to sort out project uncertainties. For example, clarifying indicator targets should have been made at the inception, along with indication of monitoring metrics and procedures. The details of the weather monitoring systems and services should have also been worked out, and a more thorough assessment of what could be implemented in terms of termite control research might have better focused the limited project resources allocated for this activity.

Monitoring metrics and procedures should be included in M&E plans

Monitoring & evaluation plans should include more details on monitoring metrics and monitoring procedures. In this project, metrics and responsibilities were not indicated for monitoring achievement toward achievement of the key two indicators, i.e., districts allocate significant budget to SLM activities and livelihood benefits are increased through application of improved land management techniques.

UNDP should support project management training

Implementation timeframes are often restricted due to delays partnership arrangements and recruitment of project teams. This leads to a rushed focus on implementation once the enabling environment is in place, and does not allow for sufficient training and mentoring of the project management team. It would be advisable if the UNDP supported project management training, possibly delivered in parallel with project implementation so that the team could better integrate good management techniques into overall project performance.

6. Annexes

Annex 1: Itinerary

Meetings/Interviews with Kampala-based Stakeholders:

Date	Meeting	Contact person / Position / Organization
13 Jan 2014	Inception meeting at UNDP office, Kampala Terminal evaluation team: James Lenoci, International Consultant Johan Wasige PhD, National Consultant	**Onesimus Muhwezi** Team Leader, Energy and Environment United Nations Development Programme Email: onesimus.muhwezi@undp.org **Sarah Mujabi** Programme officer Environment United Nations Development Programme Uganda Email: sarah.mujabi@undp.org **Daniel Omodo McMondo** Programme Analyst, Energy and Environment United Nations Development Programme Uganda Email: daniel.omodo@undp.org **Stephen Muwaya** SLM Project Coordinator, MAAIF Email: smuwaya@yahoo.com **Paul Mwambu** Project manager, SLM programme Email: paul.mwambu@undp.org **Dr. Robert Nabanyumya** Technical Advisor MAAIF- SLM programme Email: nabanyumya@yahoo.com
14 Jan 2014	NEMA, Kampala	**Edward Adraku Odipio** District Support Coordinator (email feedback) Email: eodipio@nemaug.org **Herbert Nabaasa** District Support Officer, Western Email: rnabaasa@nemaug.org
14 Jan 2014	Project Coordinator	**Stephen Muwaya** SLM Project Coordinator, MAAIF Email: smuwaya@yahoo.com
15 Jan 2014	Project Management Team	**Sarah Mujabi** Programme officer Environment United Nations Development Programme Uganda Email: sarah.mujabi@undp.org **Paul Mwambu** Project manager, SLM programme Email: paul.mwambu@undp.org **Dr. Robert Nabanyumya** Technical Advisor MAAIF- SLM programme Email: nabanyumya@yahoo.com
22 Jan 2014	UNDP Programme Officer	**Sarah Mujabi** Programme officer Environment United Nations Development Programme Uganda Email: sarah.mujabi@undp.org
23 Jan 2014	NAADS, Kampala Telephone interview; email feedback	**Dr. Christopher Bukenya,** TSM NAADSEC cbukenya@naads.or.ug
24 Jan 2014	Terminal Evaluation Debriefing Kampala	**Steering Committee members**
24 Jan 2014	UNDP Programme Officer and M&E Specialist	**Onesimus Muhwezi** Team Leader, Energy and Environment, UNDP Email: onesimus.muhwezi@undp.org **Polly Mugisha** M&E Specialist, UNDP Email: Polly.mugisha@undp.org

Date	Meeting	Contact person / Position / Organization
22 Jan 2014	Ministry of Water and Environment – Meteorology Department Telephone interview and email feedback	**Mr. Tanywa Stephene** tanywagwa@yahoo.co.uk
27 Jan 2014	NPA/MoFED Telephone and email interview	**Dennis Mugagga** denis.mugagga@finance.go.ug
27 Jan 2014	Royal Norwegian Embassy, Kampala Email feedback	**Mr. Kajoba Samuel** Royal Norwegian Embassy Email: Samuel.Kajoba@mfa.no
28 Jan 2014	MWE HQ Telephone interview and email feedback	**Mr. BOB KAZUNGU** MWE bob.kazungu@gmail.com
29 Jan 2014	Ministry of **Energy** & Mineral Development Meeting and email feedback	John Tumihimbise Email: tumuhimbise@energy.go.ug
29 Jan 2014	Ministry of Lands, Housing & Urban Development Meeting and email feedback	Robert Opio Robert.opio@mlhud.go.ug
29 Jan 2014	Ministry of Trade Industry & Cooperatives (MTIC) Meeting and email feedback	Norman Ojamuge nonmanojam@gmail.com

Meetings/Interviews with District Officials:

Date	Name	Position	Contact	District
16 Jan 2014	Mr. Bukenya Idris Kasozi	Ass. CAO	Tel: 0772829456/ bukenyaid@yahoo.com	Nakaseke
	Mr. Ssebbaale Edrisa	Production & marketing officer	Tel: 0772315314/ ssebbaaledrisa@gmail.com	
	Mr. Kabuye Muhamood	Senior Planner	Tel: 0782655789/0751655789/ streg0140443@yahoo.co.uk	
	Mr. Moses Sekagya	Environmental Officer	sekajamo@gmail.com Tel: 0782921909	
17th Jan2014	Mr. James Bond Kunobere	Environmental Officer	jimkunobere@gmail.com Tel: 0772576570	Nakasongola
	Mr. Mbazura Josephat	Natural resource officer	0772668024/ 0759858653 mbazura.josephat@yahoo.com	
	Mr. Mukuza Henry	District Planner	0772153396/ mukozahenry@yahoo.co.uk	
20th Jan 2014	Mr. Sekamatte John	Environmental Officer	Tel: 0752810179/ 0776810179 sekaug@gmail.com	Lyantonde
	Mr. Arinaitwe. W. Isaac	District planner	0772554416 aisaac2@yahoo.com	
	Alioka Richard	D/ CAO	0782322345	
	Rwensheshe Herbert	Vice C/P LC V	0772555793	
21 Jan 2014	Robert Isabirye	Environmental Officer	alupar@yahoo.com Tel: 0772361135	Kamuli
22 Jan 2014 Telephone interview	Athanasius Lwanga	Environmental Officer	athanlb@yahoo.com Tel. 0772690874	Sembabule
22 Jan 2014 Telephone interview	Fred Mbalumya	Environmental Officer	fredmax38@yahoo.com Tel: 0774800803	Kaliro

Annex 2: Interviews with Beneficiaries of Small Grants

Summary of Background Information:

Date	Name	Designation	Farmer group	Year formed	men	women	SLM-activities	Grant investment activities	Contact	District
16 Jan 2014	Mr. Nkona Fred	Youth member/ teacher	Namusale youth efforts to conserve environment	2011	16	14	Energy stoves Charcoal briskets Tree planting	5 Energy stoves Charcoal briquettes Tree planting	0784093388	Nakaseke
	Mrs. Constance Kakembo	Treasurer	Kyasagga community based farmer organisation	2008	10	20	Water harvesting using contour bands & trenches, soil manure application, mulching, dairy management, Charcoal briskets, soil fertility testing & management, CA-planting in basins	20 zero grazing cows, 40 spray pumps, 1 soil testing kit, 2 carbonators + 2 extruders, Video camera	0773660500	Nakaseke
	Mr. Musisi stephen	Chairman							0782035791	Nakaseke
	Mr. Sewambwa John	Farmer							0773309522	
17 Jan 2014	Mrs. Nanyombi Sarah	Farmer/ group secretary	Tusubira women group	2005	8	22	CA-planting in basins, dairy management, revolving funds	15 zero grazing cows, revolving funds, improved seeds, agro-produce trading, SLM-food store	0772576570	Nakasongola
	Mrs. Natamu Fatuma	farmer	Alinyikira farmer group	2008	9	10	CA-planting in basins, hay making, energy stoves	No grants	0777054648	
	Mr. Amos Kyamia									
17 Jan 2014	Namaganda Marion	Farmer	Nabiswera Women group	2008	9	14	CA-planting in basins, hay making, energy stoves	No grants		Nakasogola
20 Jan 2014	Kamugisha Ephraim	Chairperson	Buyanja Sanitary group	2007	17	25	CA-(planting in basins, mulching, herbicide application) Zero grazing Water harvesting for domestic & irrigation	Zero grazing Water harvesting	0755915892	Lyantonde
21 Jan 2014	Muwata Sumeul	Farmer	Bandera2000	1992	188	348	Zero grazing, Energy efficient stoves, CA	11 pumps Improved seeds 20 CA demos 20 citrus fruit demos 11 heifers 11 cowsheds 12 water tanks	0777501506	Kamuli
21 Jan 2014	Isanga Boniface	V/chair	Buyindi Farmers eye	2008	10	20	Agro-forestry, Fruit growing, Tree nursery management, Zero grazing, Energy efficient stoves, CA	Coffee nursery, tree seedlings nursery 6- heifers 7-agroforestry demos, 7-fruit orchards	0783393642	Kamuli

Date	Name	Designation	Farmer group	Year formed	men	women	SLM-activities	Grant investment activities	Contact	District
21 Jan 2014	Lubega Seith	Farmer	Kasolwe United farmers & general enterprise	1994	20	10	CA Zero grazing	10 Zero grazing units 6-spray pumps Improved seeds (maize & beans) Shelter for zero grazing Maize mill	0775055522	Kamuli
21 Jan 2014	Muguluma Aisha								0783298760	Kamuli
22 Jan 2014 Telephone interview	Waako John	Farmer	Twalibanafu farmers association	2004	15	15	CA, Zero grazing dairy cows Agro-forestry	10 heifers Green house for fruit production, Tree seedlings, Digital camera Valve addition milling machine	0752904869	Kaliro
22 Jan 2014 Telephone interview	Kisakye Rose									
22 Jan 2014 Telephone interview	Naziri Hawa	Farmer	Mabindo farmers' cooperative society	2005	42	53	CA, Zero grazing dairy cows, water harvesting for domestic consumption, tree planting	40 tanks Improved seeds herbicides	CA Tree planting Zero grazing	Sembabule
23 Jan 2014 Telephone interview	Sahara Likadonda	Farmer	Sembabule agribusiness farmers enterprise (SAFE)	2009/2010	6	74	CA Irrigation Tree nursery	15 water harvesting tanks Tree nursery	0752871719	Sembabule

Benefits Realized through Small Grant Activities:

Date	Farmer group	Year formed	men	women	SLM-activities	Grant investment activities	SLM-capacity building activities	SLM-impact on women	Sustainability issues	District	Sub-county	village
16 Jan 2014	Namusale youth efforts to conserve environment	2011	16	14	Energy stoves Charcoal briskets Tree planting	5 Energy stoves Charcoal briquettes Tree planting	Exchange visits, sustainable charcoal production, energy stoves, fruit growing, horticulture, CA, finance management, tree planting	Household food security, can contribute to child education	Sale of tree seedlings,	Nakaseke	Kapeka	Busambiro,
16 Jan 2014	Kyasagga community based farmer organisation	2008	10	20	Water harvesting using contour bands & trenches, soil manure application, mulching, dairy management, Charcoal briskets, soil fertility testing & management, CA-planting in basins	20 zero grazing cows, 40 spray pumps, 1 soil testing kit, 2 carbonators + 2 extruders, Video camera			Sale of Charcoal briskets & bananas, milk, calf next farmer transfers	Nakaseke	Nakaseke	kyamutakasa
17 Jan 2014	Tusubira women group	2005	8	22	CA-planting in basins, dairy management, revolving funds	15 zero grazing cows, revolving funds, improved seeds, agro-produce trading, SLM-food store			Agro-produce trading, revolving fund at 10% interest, grow crops & sale, calf next farmer transfers	Nakasogola	Kalungi	Nakataka
	Alinyikira farmer group	2008	9	10	CA-planting in basins, hay making, energy stoves					Nakasogola	Nabiswera	Namakukulu
20 Jan 2014	Buyanja Sanitary group	2007	17	25	CA-(planting in basins, mulching, herbicide (weed master) application) Zero grazing Water harvesting for domestic & irrigation	Zero grazing Water harvesting	Exchange visits, energy stoves, fruit growing, horticulture, CA, finance management, tree planting	Reduced time in water collection through water harvesting for domestic, irrigation & livestock watering	revolving fund, grow crops & sale, calf next farmer transfers, milk sales	Lyantonde	Lyantonde	Buyanja
21 Jan 2014	Buyindi Farmers eye	2008	10	20	Agro-forestry, Fruit growing, Tree nursery management,	Coffee nursery, tree seedlings nursery 6- heifers 7-agroforestry	Agro-forestry, Tree nursery management, Zero grazing,	Use of stoves saves fuel wood, food security,	Seedlings sales, Calves distribution	Kamuli	Nabwigulu	Bulongo

Date	Farmer group	Year formed	men	women	SLM-activities	Grant investment activities	SLM-capacity building activities	SLM-impact on women	Sustainability issues	District	Sub-county	village
					Zero grazing, Energy efficient stoves, CA	demos, 7-fruit orchards	Energy Biomass saving technology, CA	increased household incomes				
21 Jan 2014	Kasolwe United farmers & general enterprise	1994	20	10	CA Zero grazing	10 Zero grazing units 6-spray pumps Improved seeds (maize & beans) Shelter for zero grazing Maize mill	Zero grazing, Energy Biomass saving technology, CA	Use of stoves saves fuel wood, food security, increased household incomes	Calves distribution Revolving fund	Kamuli	Balawoli	Butula
21 Jan 2014	Bandera2000	1992	188	348	Zero grazing, Energy efficient stoves, CA	11 pumps Improved seeds 20 CA demos 20 citrus fruit demos 11 heifers 11 cowsheds 12 water tanks	Zero grazing, Energy Biomass saving technology, CA, Water harvesting, Biogas production	food security, increased household incomes	Calves distribution, Milk sales	Kamuli	Nawanyago	Nalimala
22 Jan 2014 Telephone interview	Twalibanafu farmers association	2004	15	15	CA, Zero grazing dairy cows Agro-forestry	10 heifers Green house for fruit production, Tree seedlings, Digital camera Valve addition milling machine	Zero grazing, Energy Biomass saving technology, CA, Water harvesting	food security, increased household incomes	Calves distribution, Milk sales NARO/ ASARECA - fruit production Sale of grafted fruit seedlings	Kaliro	Namaleba	Bukijiki
23 Jan 2014 Telephone interview	Mabindo farmers cooperative society	2005	42	53	CA, Zero grazing cows, water harvesting for domestic consumption, tree planting	40 tanks Improved seeds herbicides	CA Tree planting Zero grazing	improved food security, save time for domestic water collection, income	Revolving fund scheme Bulky input purchases	Sembabule	Mijwala	Mabin
23 Jan 2014 Telephone interview	Sembabule agribusiness farmers enterprise (SAFE)	2009/2010	6	74	CA Irrigation Tree nursery	15 water harvesting tanks Tree nursery	CA, agroforestry	Improved food security, save time for domestic water collection, income	Income from improved farm production Group contributions	Sembabule	Lwebikalu	Senyange

Annex 3: Summary of Field Visits

Field visits were made over the period from 2014 January 16-21.

January 16, Visit Nakaseke District

Meeting at District Headquarters

Participants:

Mr. Bukenya Idris Kasozi, Ass. CAO
Mr. Ssebbaale Edrisa, Production & marketing officer
Mr. Kabuye Muhamood, Senior Planner
Mr. Moses Sekagya, District Environmental Officer
John Wasige, National Consultant
James Lenoci, International Consultant

The DEAP was the first version since the district was formed in 2005. The actions listed in the DEAP are fully integrated into the DDP. The DDP covers a 5-year period, but is reviewed annually. The most recent version is dated 2013 April. Fiscal year runs from Jun 2013-Jun 2014.

The total operating budget of the District is approx. 4.7 billion UGX, which is provided through a conditional grant from the Central Government. There is not much flexibility with the spending the conditional grant; maximum 20% can be reflexed, but only to help departments that are bad off, not to change modality.

With respect to funding production (agriculture/natural resources), financing is nearly entirely donor sourced. The District is generated some revenue, the most significant source of revenue is taxes on charcoal producers. The District is taxing each charcoal lorry 60,000 UGX; the parish and sub-county levels are also collecting separate taxes from them.

Approx. 10% of the revenue from charcoal taxes has gone toward natural resources based interventions. In fiscal year 2013/2014, 10 MUGX (4,000 USD) were allocated, and so far approx. 4 MUGX (approx. 1,600 USD) have been spent on establishing a tree nursery. The tree seedlings are being distributed mostly to public properties, including schools, sub-county headquarters, etc. Tree types include eucalyptus (good construction wood), and also fruit trees (food supply). Other interventions in the plan included sanitation improvement (better coverage of latrines, including at households, and installing improved latrines at schools); valley dams.

Charcoal production remains a significant threat to natural resources in the District. The number of lorries are generally decreasing compared to a few years back, as stocks are decreasing. Some farmers are voluntarily clearing trees on their farms and selling the wood to charcoal producers.

The District has tried to promote alternative charcoal briquettes, e.g., using invasive weeds for inputs. The UNDP project helped support groups with equipment (simple extruder, burner). So far, this charcoal production is very small scale and not yet economically competitive.

Bio-gas is also a good potential substitute for cooking energy. According to District staff, there is plenty of dung, but people lack access to capital.

Regarding access to capital, micro-credit institutions are reluctant to support farmers, due to weather risks.

The District is appreciative to the UNDP for supporting completion of the DEAP. They were successful in completing 73 PEAPs and 15 SEAPs (10 sub-counties and 5 town councils). Although the participatory process yielded an inclusive result, the process was expensive and time-consuming. Without donor support, the District would not be able to complete such a process. When the plans are up for updating, the District staff recommended finding an alternative solution, e.g., sending out questionnaires to the parishes.

From each sub-country, 2 representatives are on the District council. The compiled priority actions in the sub-counties are debated in council meetings. Most of funding is through the District; some sub-counties and town councils can raise funds themselves.

Assets:

Climatological station: Only rain gauges were supplied: 1 at District HQ and 5 at sub-county offices. The MET trained recorders and data is sent by post. The MET has stopped paying the recorders, the District has taken up some of the payment, but they are dissatisfied with this. The District also does not know why an AWS was not provided. The best way to disseminate data is through FM radio.

Computer equipment: in District asset register

Motorcycle: in District asset register, but registration is still in UNDP's name.

Byelaws:

- Latrine coverage: so far it has been approved by the technical committee.
- One sub-county has passed a byelaw on a ban on bush burning.
- Discussing another byelaw, to require large-scale maize farmers to plant trees on their farms, e.g., 100 acres of land require 5-10 acre tree lot.

NAADS Support/Collaboration:

NAADS, main focus has been advisory services. Their mandate is changing, i.e., offering now some inputs (seeds, livestock species). The NAADS coordinator is part of the District production department; the position is funded by the Central budget from ministry of agriculture (MAAIF).

Overall Satisfaction/Recommendations

DEAP achievement: 100% (all 73 PEAPS, all 15 SEAPS (10 sub-counties and 5 town councils)

Community level: good score, CA returns are very promising.

2 years of effective implementation. Impact would have been better if 5 years or so.

There were frequent occasions with the UNDP requested information immediately; not appreciated, too short notice.

Under the GEF project, sustainable charcoal production, hosted farmers from Kamuli. Also, looked at the improved stoves.

Farmer exchange visits were useful, for example, in Nakasongola; farmers saw how bare patches are being resolved and also termite control. Took farmers to Kamuli twice, e.g., basin technology generated a lot of interest; one group managed to train another group.

Proposals posted on sub-county level. 4 proposals and 3 were funded. One proposal, from the District HW to install rainwater harvesting equipment (approx. 70 MUGX, i.e., 28,000 USD), as an example, was not funded.

The District Staff hopes the NAADS coordinators might help with spreading CA and sustainable farming techniques.

January 17, Site Visit to Nakasongola District

Participants:

James Bond Kunobere, Environment Officer
Mbazura Josephat, Natural Resources Officer
Mukuza Henry, District Planner
John Wasige, National Consultant
James Lenoci, International Consultant

The district was formed in 1997. There are 8 sub-counties and 3 town councils. In 2002, population was 136,000, now maybe 200,000. DEAP was made in 2000-01, under a USAID project. Similar process, i.e., bottom up, village – PEAP, sub-county, and finally district level. Planned to revise it in 2006/07, but insufficient resources (e.g., World Vision); donor funding did not materialize. UNDP planned a DEAP review, but it did not happen.

Conditional grant (environment/natural resources grant): 9 MUGX – only for wetlands grant.

Unconditional grant provides some funds for operation, i.e., 75,000 UGX per month for office supplies, IT services. Most of the local revenue is used to service the council operation.

Previously had a program a sustainable SCPLMS (sustainable charcoal production licensing and marketing system), and with money from that program, 35% used for biomass regeneration, 35% for community projects, 30% for project management. The project ran from 2002-04 (charcoal revenue was 200 MUGX per year); part of the biomass regeneration used for awareness, tree nursery beds. Due politics, the project disbanded, and districts decided to tender out these services, i.e., each sub-county tenders the service of revenue collection, gives the district some part of the revenue. Biomass stocks are nearly depleted, so charcoal business is down anyway.

SLM co-funded 2.5 MUGX from District 2010-11; wanted to make it a continuous process every year, but, in 2011-12 had 0.75 MUGX, and in 2012-13 none. In 2013-14 planning figure 3.6 MUGX (none disbursed so far); fiscal year is July-June. The 3.6 MUGX is for tree conservation, bee-keeping activities.

In 2010-11, 2.5 MUGX was used for awareness raising at the lowest level; project had planned to stop at sub-county, used part for a radio talk show, highlight project benefits/expectations from stakeholders.

DDP review is ongoing, typically from November to February, and by April it should be finalized. Current version was approved in April 2013. The DDP contains mostly "mega" projects; there is a chapter on environmental analysis and priority environmental issues are incorporated into other sectors, e.g., sanitation in Health Sector, Water Sector, and Education Sector.

NAADS is under Production Sector, and they receive many conditional grants; collects local revenue, but not guaranteed for their use

Production Department:

- PMA Grant: Plan for Modernization of Agriculture (SLM: water and soil conservation, fruit trees, promotion of non-timber, aquaculture
- NAADS Grant: demonstrations, coordinators were trained under the UNDP SLM project, e.g., conservation agriculture, and beekeeping also taken up as a serious issue, also fruit growing and agro-forestry now a component of their grant ...
- NAPA: National Adaptation Programme of Action: District does not implement this program, rather transferred to CBOs; so far two groups, doing water harvesting and small scale irrigation (acquired irrigation equipment for 1-2 acres, pump is strong enough for 6 acres). It works under a grant process
- FAO Project within department, promoting cassava and maize growing, large-scale maize production, e.g., commercial farmers do not want to plant trees on maize fields because of birds.
- Also, production supervises a climate change resilience project, funded to NGOs.

SLM Task Force: coordinator is the NAADS coordinator. Task Force was established as part of the UNDP project, and includes relevant sectors: Environment Officer, NR Officer, Planner, Information Officer, Agriculture Officer, Production Officer, and Forest Officer. Usually meet quarterly, or when need arises. Task Force makes a presentation to the Technical Planning Committee, with the agenda of mainstreaming SLM into the District sectors and trying to acquire budgets. Recommendations are forwarded to the Council Committees and finally to the District Council, Awareness has improved. The SLM Task Force has also had meetings with the sub-county planning committees. Previously, people thought SLM was a new concept, realized that SLM has been done in their sectors, i.e., each sector had SLM activities, difficult to tally up, difficult to document. For example, Water Sector had construction of water dams, catchment management, and Education Sector promoted gardening. The SLM Task Force will continue to function.

Using community procurement for the small grants program, the impact is evident, also at sub-county level, e.g., grant proposals were very innovative, and one group recommended purchasing fishnets (diversification of income).

Nakasongola small grants: 5 total grants. District was involved in the whole process; tender was fair. Information was posted on notice boards, broadcast on the radio. They received 9 proposals and 5 were awarded. The groups were audited; auditors and accounting staff were involved from the beginning. One of the main successes was training the groups in financial management.

Capacity building impacts: much higher understanding of SLM, e.g., how SLM fits directly in the CSIF. Visits to other districts were very useful, e.g., went to Sembabule and learned about low-cost water harvesting. Also, went to South Africa, where realized that Uganda is lacking a forum for sharing information. In South Africa, each Ministry had a SLM focal point, even in the Ministry of Foreign Affairs. They are also doing more land use planning, and have much higher capacity in proposal writing.

Water management is very important. For example, irrigation can be linked to charcoal burning, e.g., during rainy season, charcoal burning is nearly non-existent, people are in their gardens, but during dry season, charcoal burning increases a lot.

The District's knowledge of cattle breed has improved a lot, reducing pressure on land. Good hybrid breeds are selling easily.

Trees are being planted, but termites are huge problem; that is why people are planting pine (resistant to termites). Very high demand for seedlings.

Approx. 50-60% of livestock farmers have established their own water resources, with their own funds, and thus reducing degradation of land, disease prevention.

Under the GEF SLM project: out of 19 proposals for Nakasongola, 13 included water sources.

Boreholes are very expensive, and chance for failure is high (need to pay 60% of the cost). Most farmers are going for buried tanks.

Looked at the following documents:

Nakasongola DEAP …

Nakitoma Sub-County, Njeru Parish Sustainable Development Plan, 2002/3-2004/5

Nakitoma Sub-County, Bujabe Parish Sustainable Development Plan, 2002/3-2004/5

Nakitoma Sub-County, Kasozi Parish Sustainable Development Plan, 2002/3-2004/5

Assets:

Climatological Station: received rain stations, 10 were installed. Recorders trained but sent directly to MET. James is not receiving any data. Climate Change by use of ICT (under Uganda Health Charter), using phones to transmit the data, also training commercial farmers, collecting market prices. The center is sending to farmers.

AWS not received yet, but they did identify the place. The station needs electrical power, Internet, security. Recommended to install the station at one of the town council office premises.

Computer, printer, modem are in District's asset register

Motorcycle is also in asset register, but registration is under UNDP.

Discussions with District Planner:

SLM is now very much involved in the planning, adopted especially in the field of agricultural. The DDP was reviewed according to the 5-year NDP, at the last half of last year. Natural resource being added to M&E framework; but need to have an environmental assessment to determine what indicators to include.

With respect to byelaws, there are no specific ones adopted yet, but one of their strategies is to promote harvesting rain for production.

Village councils meet, come up with priorities, very few they can handle development with their own sources.

Parish council meetings usually chaired by local chief, what they cannot handle, they refer to sub-county councils.

The SLM project has certainly helped capacitate the environmental officer, James. He is much more involved in the planning processes now.

January 20, Lyantonde District

Participants:

Mr. Sekamatte John, Environment Officer
Mr. Arinaitwe. W. Isaac, District Planner
Alioka Richard, D/ CAO
Rwensheshe Herbert, Rwensheshe Herbert
John Wasige, National Consultant
James Lenoci, International Consultant

Interview with District Planner

DDP. Currently finalizing the plan. Typically roll it year by year.

District was formed 7 years ago. Inhabitants: approx. 100,000

Total public expenditure: 4 Billion UGX, includes both the conditional and unconditional grant

Local revenue is very low. Income tax: scrapped in 2005-06, encouraged people to work. If paid, the farmers were given a "ticket".

Sources of revenue:

- Sales tax
- Cattle keepers/milk
- Coffee (small scale)
- Charcoal burners (small scale)

Grants keep getting slashed, and there are no major donors. District does not even have a vehicle. NAADS has a vehicle, but they have their program.

Source of funds include:

- PAF: Poverty Alleviation Fund
- LGMSDP
- Revenue from Livestock sector (loading cattle trucks, fee)
- Sale of animals at markets, 65% retained by sub-county, 35% by district

Lyantonde: no termite problem, drier climate here.

But, water shortage is a major problem. Water trucks sent from Ministry in dry periods.

Lyantonde: only two boreholes, and one is salty.

Women's group: proposal for efficient biomass utilization.

Interview with District D/CAO:

DEAP. This was the first one for the district.

There are several different sectors dealing with SLM activities, including Production, Water, Education, Community Services, Works and Technical Services, etc.

The DEAP actions are being integrated into DDP

- NR is handling tree planting, e.g., 3 seedlings per year to households who are interested, sub-county solicits interest.
- LGMSDP: conditional grant
- Wetland grant
- In the Production Sector, over-grazing was identified as an issue.

This district is particularly dry. There have been SLM activities earlier, but this project has helped identify more issues, e.g., tree planting. In 2008, this district was classified as 0% tree cover. In the last 5 years, 2008-13, heavily encouraged tree planting; 600 tree seedlings provided. Agriculture Enhancement (Farm Income – ADB with Gov of Uganda) phased out in 2011. A tree nursery was established, and now money from the LGMSDP fund is used for operating it. 10 MUGX in 2010 nursery operation, next year was restricted, in 2012: 5 MUGX; 2013: 5.5 MUGX. There is no revenue in this program; seedlings are given for free.

Wetland Grant: 3.9 MUGX (budgeted for 5.1 MUGX)

NAADS are doing a lot, e.g., farmer to farmer visits.

District SLM Task Force, created the DEAP. The environmental officer and other staff were involved.

Without donor support, Districts cannot create a DEAP, due to the costs involved.

There were 18 proposals in the small grants program. Used community procurement procedures, and in this way, the money went directly to the farmer groups. District procurement processes were used in Sembabule earlier, but they had generally negative experience; inefficient; and only provided inputs to farmers.

One of the beneficiary small grants groups invested in value-addition: a milk cooler (one unit), 1200-liter capacity. Two other groups also received value-addition grants, and invested in maize grain milling equipment (2 engines) and the other in a yogurt making machine

Assets:

Motorcycle: in asset register of the district and the registration is in the name of the Lyantonde district.

Compute, printer, UPS, CPU, modem: asset register of the district

Rain gauges: 6 units were installed, including at town council and 5 at sub-counties. MET trained the recorders in Masaka, but they have not been paid (50,000 UGX per month); no payment in 3 years, and most of the recorders have abandoned their work. District should use own resources to continue monitoring the data; even the money to send the data by post was not provided by MET

Weather station: one was promised, but he does not know what happened.

One particular shortcoming was time; only 3 months were allocated for implementing the small grants projects.

January 21, Kamuli

Robert Isabirye, Environment Officer
John Wasige, National Consultant
James Lenoci, International Consultant

Robert has been working since 2000 here at the district. The DEAP process started back in 2004, with NEMA funds, but ended at the SEAP. This project facilitated review of the PEAPs (79) and SEAPs (12 sub county and 1 town council), and supported completion of the DEAP 2012. Roughly 25 MUGX used to complete the DEAP process. For preparing one PEAP, min. 3 days, 1 day brainstorming, 1 day transect walk, 1 day writing, roughly 500,000-1,000,000 UGX required for one PEAP.

Some sub-counties are large, with 9-10 parishes, would be difficult to leave out the PEAP step. The north part of the district is in the cattle corridor, and south part of the district is the banana corridor.

The DEAP and DDP is discussed in the Technical Planning Committee, where projects are screened, e.g., for each department. The current DDP is FY 2010/11-2014/15, and the next one will cover FY14/15-18/29.

In the Natural Resource department, 17 MUGX last year to plant trees in forest reserves, from local revenue sourced money

Water shortage is a big problem in the cattle corridor, and the water department has been focused on constructing boreholes. In the current budget, 600 MUGX is allocated (maybe 50% for boreholes and 50% for services). Water is used for irrigation, livestock, and human consumption, and funding is from the conditional grant.

NAADS has been providing fertilizer and improved seeds, roughly estimating, each parish, which have approx. 100 HHs, each getting 100,000 UGX per HH, that is 10,000,000 MUGX x 79, fairly large component of the district's overall budget. This year, the NAADS budget is 1.4 billion UGX, funded from the conditional grant.

The operating budget for the entire district is 26 million UGX.

Local revenue is a small proportion of the total and includes:

- Forest resources: permits for timber and charcoal
- Markets: livestock markets (maybe largest share), and sales markets, people pay market fees.
- Trading licenses
- Fishing permits

Last year, target for local revenue was 400 MUGX and actual received was 300 MUGX.

The natural resources plan from local revenue was 20 MUGX (5%) and actually received 17 MUGX (out of 300 MUGX)

<u>Small grants</u>

11 proposals from groups and 4 were funded.

The district was involved in vetting the groups, checked for example if they are registered. In final selection, the district was not involved. In the GEF project, they are involved. Robert mentioned this to the project management, and was told that the reason was that they were running out of time.

Value addition: one group bought a maize shelling (asked for also mill, but money was not enough). Another group wanted a maize mill.

Shortcoming: planning took longer than the implementation, e.g., farmers only had one growing season.

Fairly demanding accountability timeframes, e.g., value chain beneficiaries required 1 week, which is very short.

<u>Assets</u>:

Motorcycle: registration in UNDP name

Computer equipment, motorcycle, etc. are in district's asset register.

Rain gauges: 4 installed in Kamuli and 2 Buwende (new District, formed in 2010). 2 people were trained, not getting paid, but still doing the work, paid for first month. The recorders are either extension staff, sub-county district staff.

Weather station: MET asked for an officer. MET plans to issue reports to the district and then to the farmers. There is interest among the farmers, e.g., to be sent via SMS. Robert gave 200 names to MET; the number of interested ones could be much higher.

A spot announcement for FM radio is 15,000 UGX; another effective way to disseminate weather data.

Capacity building:

Robert is thankful for the capacity building he gained; he can now work as an agricultural extension officer.

Farmers typically learn better from other farmers, then from extension officers. Robert visited South Africa, very large scale, commercial – not very helpful for Uganda. He also visited Kenya, real farmers, much more relevant for Uganda.

Final comments:

Deforestation is still happening, as the market for charcoal is high. The only change is that they are more trees being planted,

Robert is unsure of the impact on pastoralists. The project wanted engage them, but impacts maybe low.

Conservation agriculture adoption is somewhat low, partly because labor intensive, e.g., need to dig basins in dry season.

January 22, Kaliro District
Telephone interview by John Wasige, national consultant to Athanasius Lwanga, environmental officer and beneficiary farmers from small grants project

Budget allocation to SLM activities in Kaliro district between 2010-2012 varied from 3.43 % to 8.72 %. Up to 6,000,000 UGX were allocated to raise tree seedlings for re-afforestation and 4,000,000 for construction of energy saving stoves in FY 2009/10. In 2009/2010 District Development Plan, 8.72% was allocated to procure nursery equipment to raise tree seedlings for re-afforestation (6,000,000 UGX) and construction of energy-saving stoves (4,000,000 UGX). For 2013/2014 a total of 33,720,000 UGX was allocated to SLM activities i.e. 10,000,000 UGX from LDG allocated to the raising of tree seedlings for re-afforestation purposes and 23, 720,000UGX from UNDP (10,000,000 UGX to the district and 13,720,000 UGX to the groups). In the process of developing the District Environment Action Plan (DEAP), 34 community meetings were held at parish level to review the old PEAPS and identify priority problems and interventions for inclusion in the DDPs. 6 sub-county consultation meetings were held to come up with the Sub-county Environment Action Plans which prioritized problems and interventions for inclusion in Sub-county Development Plans (SDPs). One consultation meeting was done at the district to come up with the District Environment Action Plan which prioritized problems and interventions for inclusion in the District Development Plans. This was done in 2011/2012. The most common conflict between sub-counties was the failure to fund prioritized activities in the SDPs.

Farmers are implementing the following SLM activities: CA, zero-grazing cows, Agro-forestry and Valve-addition on maize milling. Farmers reported that SLM activities will be sustained in the future through: revolving Calves distribution, Milk sales, NARO/ ASARECA - fruit production and Sale of grafted fruit seedlings

January 22, Sembabule District:
Telephone interview by John Wasige, national consultant to Fred Mbalumya, district environmental officer and beneficiary farmers from small grants project

Telephone contacts were made with the District Environmental officer but he did not give feedback within timeframe of the evaluation.

Further telephone interviews were made with two farmers implementing SLM activities. The following SLM grant projects were reported for the district: CA, zero-grazing cows, water harvesting for domestic consumption, tree planting. Farmers reported that SLM activities will be sustained in the future through: revolving fund scheme within group members and bulky input purchases.

Annex 4: List of Information Reviewed

Project Documents:

- Project Document
- Inception Report
- Annual work plans
- Quarterly and annual progress reports;
- Final report (including lessons learned);
- Minutes of the Project Board;
- Logical Results Framework
- Financial annual reports
- Audits
- Project Monitoring and Evaluation Plan
- Mid-Term Review Report and Management Response to the Mid-Term Review
- Training records
- Procurement records
- Terms of Reference for Functional inter-ministerial committee and UNCCD NAP Focal Point
- National Rangelands Policy and Pastoral Code
- Country Strategic Investment Framework CSIF document
- MoUs between dry land products producers
- Registers of farmer innovators, minutes of farmer networks and reports of Exchange visits
- Termite research results
- Kaliro District, District Environmental Action Plan,
- Kaliro District, District Development Plan,
- Kaliro District, Baseline Report
- Kamuli District, District Environmental Action Plan,
- Kamuli District, District Development Plan,
- Kamuli District, Sub County Environmental Action Plans,
- Kamuli District, Baseline Reports
- Lyantonde District, District Environmental Action Plan,
- Lyantonde District, District Development Plan,
- Lyantonde District, Sub County Environmental Action Plans,
- Lyantonde District, Parish Environmental Action Plans
- Lyantonde District, Baseline Reports
- Nakaseke District, District Environmental Action Plan,
- Nakaseke District, District Development Plan,
- Nakaseke District, Sub County Environmental Action Plans,
- Nakaseke District, Parish Environmental Action Plans
- Nakaseke District, Baseline Reports
- Sembabule District, District Environmental Action Plan,
- Sembabule District, Baseline Reports
- Nakasongola District, District Environmental Action Plan,
- Sembabule District, Baseline Reports

Other Documents:

- Uganda Agricultural Zoning Plan, 2004
- Uganda National Environmental Action Plan, 1995
- Uganda Agriculture Sector Development Strategy and Investment Plan (DSIP), 2010/11-2014/15

Annex 5: Summary of Livelihood Assessment

Background

This annex includes a summary of a livelihood assessment completed as part of the terminal evaluation (TE) of the UNDP project: Mainstreaming Sustainable Land Management (SLM) in six cattle corridor districts (Nakaseke, Lyantonde, Nakasongola, Kamuli, Sembabule, and Kaliro) of Uganda. The project was implemented by the Ministry of Agriculture, Animal Industry and Fisheries (MAAIF), with funding provided by the Royal Norwegian Government through the UNDP Drylands Development Centre.

The purpose of the assessment was to independently validate the livelihood improvements documented by the project, as a result of introduced conservation agriculture (CA), water harvesting, and other measures aimed at increasing the resilience of the local communities to changing circumstances brought upon by climate change, using sustainable land management practices.

CA techniques included mulching, composting, promoting minimum tillage, permanent planting basins, use of herbicides in weeding and use of fertilizers (manure), hay making, water harvesting, the supply of high grade cattle and piglets. A total of 24 farmer groups received support through a competitive small grants component of the project, and individual farmers (households) within the groups implemented CA to varying degrees. Project reports indicate that crop yields increased as a result of the application of CA, compared to when they used conventional agriculture practices are reported.

Other households within the supported groups received cross-breed dairy cows, and owners were trained in zero-grazing rearing. Farmer innovations and sharing was facilitated through farmer to farmer learning visits which were carried out in each district, resulting into cross learning and adoption of technologies.

Assessment Methodology

Personal interviews were made with small grant beneficiary farmers, in each of the 6 target districts. A total of 13 farmers were interviewed between 2014 January 16 and 22, to assess project impacts on livelihoods in terms of: human capital, natural capital, financial capital, physical capital, and social capital. The interviewed farmers were asked the following questions by national consultant, Dr. John Wasige, both for their situation before the project started and afterwards, in 2013:

Information Requested Regarding Livelihood Improvements	
Financial capital:	**Physical capital:**
Income per year	Type and number of assets gained/owned (e.g., fuel efficient energy stove, water tanks, cow sheds etc.)
Access to loan capital	Other (please specify)
Number of livestock (TLU)	**Other Livelihood Questions:**
Savings	How many meals per day were eaten in your household
Natural capital:	**Enhanced farm productivity (Kg/acre):**
Farm size(acres)	Crop 1 yield
Improved soil fertility practices used	Crop 2 yield
Human capital:	Crop 3 yield
List skills gained from training	Etc.
Social capital:	
Membership in cooperatives	
Access to credit scheme	
Other funding support (donor, government)	
Group membership security	
Assets security for members (both women & men)	

Livelihood strategies were analyzed by comparing the period before and after the project.

A total of 13 farmers were interviewed, as listed below.

Farmer	District	Name of Farmer Group	Farm size	Support Provided by Project
Farmer 1	Nakaseke	Kyasagga community based farmer organization	20 acres	1 zero-grazing cow, 1 spray pump, 1 soil testing kit; 1 carbonators + 1 extruders, Video camera
Farmer 2	Nakaseke	Kyasagga community based farmer organization	4 acres	1 zero-grazing cow, 1 spray pump,
Farmer 3	Nakasongola	Tusubira women group	10 acres	Improvement of post harvesting storage; establish food storage; CA-soil fertility management; Dairy farming
Farmer 4	Nakasongola	Alinyikira farmer group	10 acres	CA-planting in basins; hay making, energy stoves
Farmer 5	Lyantonde	Buyanja Sanitary group	80 acres	1 zero-grazing cow; Pasture management; water harvesting
Farmer 6	Kamuli	Buyindi Farmers eye	2 acres	Coffee nursery; 1 zero-grazing cow; agroforestry demos; Fruit orchards
Farmer 7	Kaliro	Twalibanafu farmers association	5 acres	1 zero-grazing cow; green house for fruit seedlings production; tree seedlings; digital camera; value addition milling machine
Farmer 8	Kaliro	Twalibanafu farmers association	4 acres	1 zero-grazing cow; training (CA-planting in basins)
Farmer 9	Sembabule	Mabingo farmers' cooperative society	10 acres	Water harvesting-tarpaulin ground tanks; Home-based farm irrigation techniques
Farmer 10	Sembabule	Sembabule agribusiness farmers enterprise (SAFE)	10 acres	Water harvesting tanks; tree nursery
Farmer 11	Nakaseke	Namusale youth efforts to conserve environment	5 acres	Energy stoves; charcoal briquette equipment; nursery; tree planting
Farmer 12	Kamuli	Kasolwe United farmers & general enterprise	4	1 zero-grazing cow; shelter for zero grazing; 1-spray pump; improved seeds (maize & beans); maize mill
Farmer 13	Kamuli	Kasolwe United farmers & general enterprise	3	

Survey Findings

The information collected from the livelihood assessment surveys are listed in the tables below:

Livelihood assets	Farmer 1 (Nakaseke district)		Farmer 2 (Nakaseke district)	
	Before project	During 2013	Before project	During 2013
Financial capital:				
Income per year, UGX	1,500,000	3,000,000	400,000	1,000,000
Access to capital (yes or no)	-	yes	-	-
Number of livestock (TLU)	5	3	-	1
Natural capital:				
Farm size(acres)	20	20	4	4
Improved soil fertility practices used	-	Water harvesting using contour bands & trenches, soil manure application, mulching,	-	CA-planting in basins Water harvesting using contour bands & trenches, soil manure application, mulching,
Human capital:				
List skills gained from training		CA, sustainable	-	CA, sustainable

Livelihood assets	Farmer 1 (Nakaseke district)		Farmer 2 (Nakaseke district)	
	Before project	During 2013	Before project	During 2013
		charcoal production, energy stoves, fruit growing, horticulture, finance management, tree planting		charcoal production, energy stoves, fruit growing, horticulture
Social capital:				
Membership in cooperatives	yes	yes	yes	yes
Access to credit scheme	-	yes	-	-
Other funding support (donor, government)	NARO	NARO	NARO	NARO
Group membership security	-	yes		yes
Assets security for members (both women & men)	-	yes		yes
Physical capital:				
Type and number of assets gained/owned (fuel efficient energy stove, water tanks, cow sheds etc.)		Water harvesting using 1 tanks, contour bands & trenches, 2 carbonators + 2 extruders, cowshed		Water harvesting using contour bands & trenches, 1 cowshed & 1 energy stove
Other Livelihood Questions:				
How many meals per day were eaten in your household	3	3	2	3
Enhanced farm productivity under SLM practice (Kg/acre):				
Banana (Kg/acre)	5200	10400	1200	2000
Beans (Kg/acre)	200	600	667	1600
Maize (Kg/acre)	200	800	600	1200

Livelihood assets	Farmer 3 (Nakasongola district)		Farmer 4 (Nakasongola district)	
	Before project	During 2013	Before project	During 2013
Financial capital:				
Income per year, UGX	500,000	2,000,000	200,000	1,100,000
Access to capital (yes or no)	-	yes	-	-
Number of livestock (TLU)	6	9	20	5
Savings	-	yes	-	-
Natural capital:				
Farm size(acres)	10	10	10	10
Improved soil fertility practices used	-	CA-planting in basins, soil manure application, Agroforestry Multi-purpose tree planting		CA-planting in basins, manure application
Human capital:				
List skills gained from training		CA, finance management, Agro-forestry, Zero grazing,		CA, finance management, Zero grazing, hay making
Social capital:				
Membership in cooperatives	yes	yes	yes	yes
Access to credit scheme	-	yes	-	-
Other funding support (donor, government)				

Livelihood assets	Farmer 3 (Nakasongola district)		Farmer 4 (Nakasongola district)	
	Before project	During 2013	Before project	During 2013
Group membership security		yes	-	-
Assets security for members (both women & men)		yes	-	-
Physical capital:				
Type and number of assets gained/owned (fuel efficient energy stove, water tanks, cow sheds etc.)		Improvement of post harvesting storage-establish food store cowshed Multi-purpose tree planting		hay making & hay store
Other (please specify)				
Other Livelihood Questions:				
How many meals per day were eaten in your household	2	3	2	3
Enhanced farm productivity under SLM practice (Kg/acre):				
Maize (Kg/acre)	500	800	400	700

Livelihood assets	Farmer 5 (Lyantonde district)		Farmer 6 (Kamuli district)	
	Before project	During 2013	Before project	During 2013
Financial capital:				
Income per year, UGX	600,000	2,4000,000	200,000	1,000,000
Access to capital (yes or no)	yes	yes	-	-
Number of livestock (TLU)	10	30	-	1
Savings	yes	yes	-	-
Natural capital:				
Farm size(acres)	80	80	2	2
Improved soil fertility practices used	-	CA-(planting in basins, mulching, herbicide (weed master) application), manure application, Water harvesting for irrigation		Agro-forestry, Manure application CA-planting in basins, mulching, soil & water conservation
Human capital:				
List skills gained from training		Use of energy stoves, nursery management & fruit growing, horticulture, CA, finance management, tree planting		Zero grazing, Energy efficient stoves, CA, finance management, tree planting
Social capital:				
Membership in cooperatives	yes	yes	yes	yes
Access to credit scheme	yes	yes	-	-
Other funding support (donor, government)	NARO	NARO	-	-
Group membership security	yes	yes	yes	yes
Assets security for members (both women & men)	yes	yes	yes	yes
Physical capital:				
Type and number of assets gained/owned (fuel efficient energy stove, water tanks, cow sheds etc.)		cowshed, Energy Biomass saving stove, Water harvesting tank		cowshed, Energy Biomass saving stove

Livelihood assets	Farmer 5 (Lyantonde district)		Farmer 6 (Kamuli district)	
	Before project	During 2013	Before project	During 2013
Other Livelihood Questions:				
How many meals per day were eaten in your household	3	3	2	3
Enhanced farm productivity under SLM practice (Kg/acre):				
Maize (Kg/acre)	150	500	300	2500
Beans (Kg/acre)	200	800	100	600

Livelihood assets	Farmer 7 (Kaliro district)		Farmer 8 (Kaliro district)	
	Before project	During 2013	Before project	During 2013
Financial capital:				
Income per year, UGX	800,000	2,000,000	200,000	600,000
Access to capital (yes or no)	-	-	-	-
Number of livestock (TLU)	-	2	-	1
Savings	-	-		
Natural capital:				
Farm size (acres)	5	5	4	4
Improved soil fertility practices used		CA (planting in basins, mulching, manure application), Agro-forestry		CA (planting in basins, mulching, manure application), Agro-forestry
Human capital:				
List skills gained from training		Zero grazing Piggery CA, Tree nursery establishment Improved cassava production		Zero grazing Piggery CA, Tree nursery establishment
Social capital:				
Membership in cooperatives	yes	yes	yes	yes
Access to credit scheme	-	-	-	-
Other funding support (donor, government)	NARO, ASARECA	NARO, ASARECA	NARO, ASARECA	NARO, ASARECA
Group membership security	yes	yes	yes	yes
Assets security for members (both women & men)	yes	yes	yes	yes
Physical capital:				
Type and number of assets gained/owned (fuel efficient energy stove, water tanks, cow sheds etc.)		Cowshed, Green house for fruit production, Tree seedlings, Digital camera Valve addition milling machine		Cowshed, Green house for fruit production, Tree seedlings, Digital camera Valve addition milling machine
Other (please specify)				
Other Livelihood Questions:				
How many meals per day were eaten in your household	2	3	2	2
Enhanced farm productivity under SLM practice (Kg/acre):				
Maize (Kg/acre)	600	2000	300	800
Beans (Kg/acre)	80	250	40	150

Livelihood assets	Farmer 9 (Sembabule district)		Farmer 10 (Sembabule district)	
	Before project	During 2013	Before project	During 2013
Financial capital:				
Income per year, UGX	120,000	700,000	200,000	600,000
Access to capital (yes or no)	-	-	-	-
Number of livestock (TLU)	-	-	2	2
Savings	-	-	-	-
Natural capital:				
Farm size(acres)	10	10	10	10
Improved soil fertility practices used		CA (planting in basins, mulching, manure application)		CA (planting in basins, mulching, manure application), Irrigation
Human capital:				
List skills gained from training		CA Tree planting Zero grazing Water harvesting		CA Tree planting Water harvesting
Social capital:				
Membership in cooperatives	yes	yes	yes	yes
Access to credit scheme	-	-	-	-
Other funding support (donor, government)	-	-	-	-
Group membership security	yes	yes	yes	yes
Assets security for members (both women & men)	yes	yes	yes	yes
Physical capital:				
Type and number of assets gained/owned (fuel efficient energy stove, water tanks, cow sheds etc.)		Soil & water conservation practices (contour ridges, ditches), cowshed, water harvesting tank, trees		Soil & water conservation practices (contour ridges, ditches), cowshed, water harvesting tank, trees
Other (please specify)				
Other Livelihood Questions:				
How many meals per day were eaten in your household	2	3	1	2
Enhanced farm productivity under SLM practice (Kg/acre):				
Maize (Kg/acre)	300	1000	150	500
Beans (Kg/acre)	60	400	50	180

Livelihood assets	Farmer 12 (Kamuli district)		Farmer 13 (Kamuli district)	
	Before project	During 2013	Before project	During 2013
Financial capital:				
Income per year, UGX	120,000	200,000	150,000	250,000
Access to capital (yes or no)		yes		yes
Number of livestock (TLU)		2		3
Savings		-		-
Natural capital:				
Farm size(acres)	4	4	3	3
Improved soil fertility practices used		CA, Agroforestry		CA, Agroforestry
Human capital:				
List skills gained from training		CA (planting in basins, mulching, manure application), Zero grazing		CA (planting in basins, mulching, manure application), Zero grazing management,

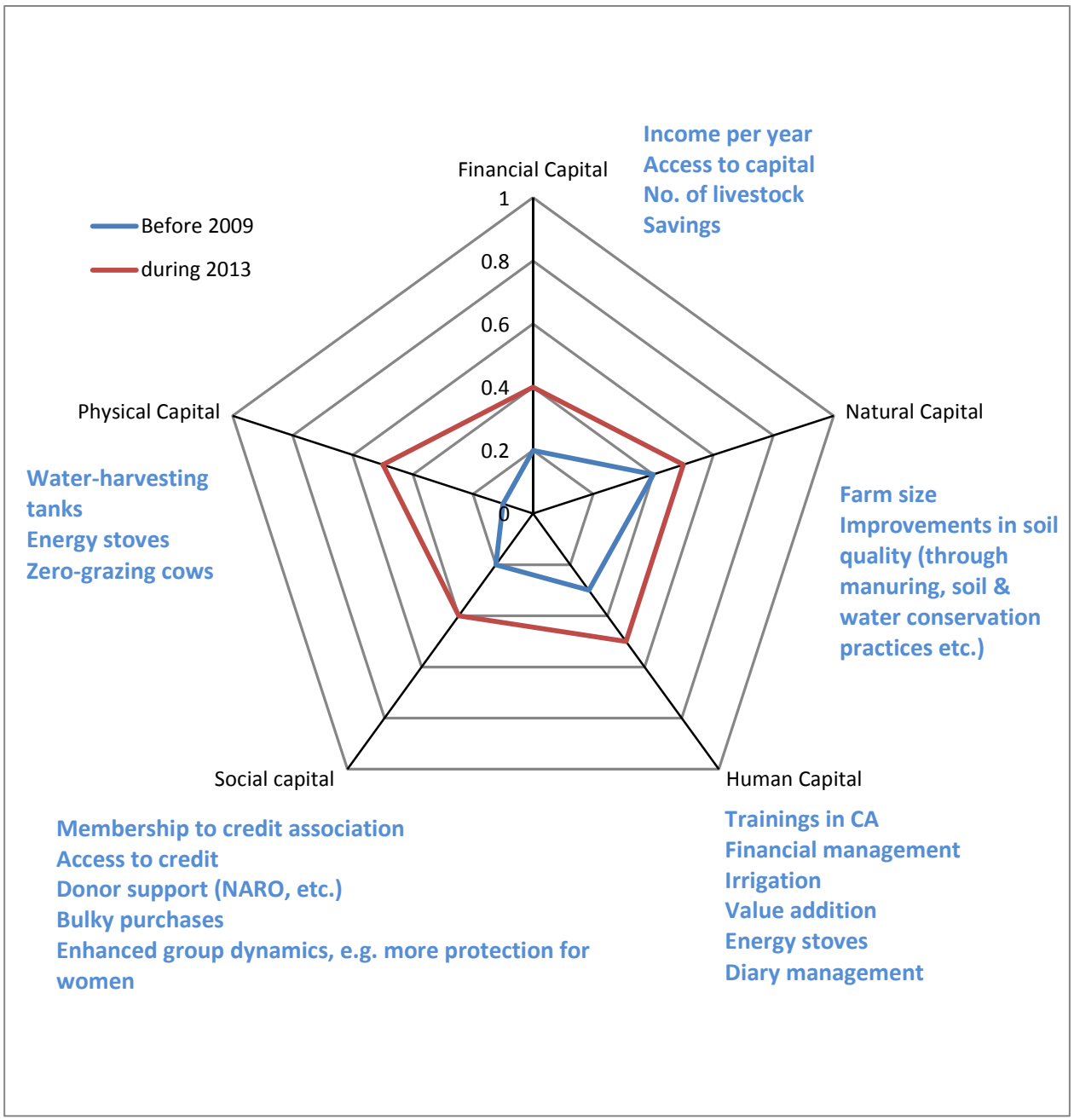
Livelihood assets	Farmer 9 (Sembabule district)		Farmer 10 (Sembabule district)	
	Before project	During 2013	Before project	During 2013
		management, Financial management		Financial management
Social capital:				
Membership in cooperatives	yes	yes	yes	yes
Access to credit scheme	yes	yes	yes	yes
Other funding support (donor, government)				
Group membership security	yes	yes	yes	yes
Assets security for members (both women & men)	yes	yes	yes	yes
Physical capital:				
Type and number of assets gained/owned (fuel efficient energy stove, water tanks, cow sheds etc.)		cowshed, water harvesting tank, trees, soil and water conservation structures		cowshed, water harvesting tank, trees, , soil and water conservation structures
Other (please specify)				
Other Livelihood Questions:				
How many meals per day were eaten in your household	2	2	2	2
Enhanced farm productivity under SLM practice (Kg/acre):				
Maize (Kg/acre)	200	0	150	0
Beans (Kg/acre)	50	0	50	0

Interpretation of Results

Five livelihood asset dimensions were assessed using the sustainable livelihoods framework. For the most part, the interviewed farmers were of similar social status, except for Farmer 5, 11, 12 and 13 who were excluded from the livelihood analysis. Farmer 5, in Lyantonde was better off in terms of livelihood capital. Farmer 11 had no crop, no income from farming and implemented SLM activities that included energy stoves and tree planting. Farmer 12 and 13 had their crops fail in the previous season due to drought and there was therefore no contribution of farm produce to income generation. These farmers were not also managing the SLM project given cross breeds under zero grazing units due lack of feeding resources. It was therefore difficult to assess SLM impact on these households.

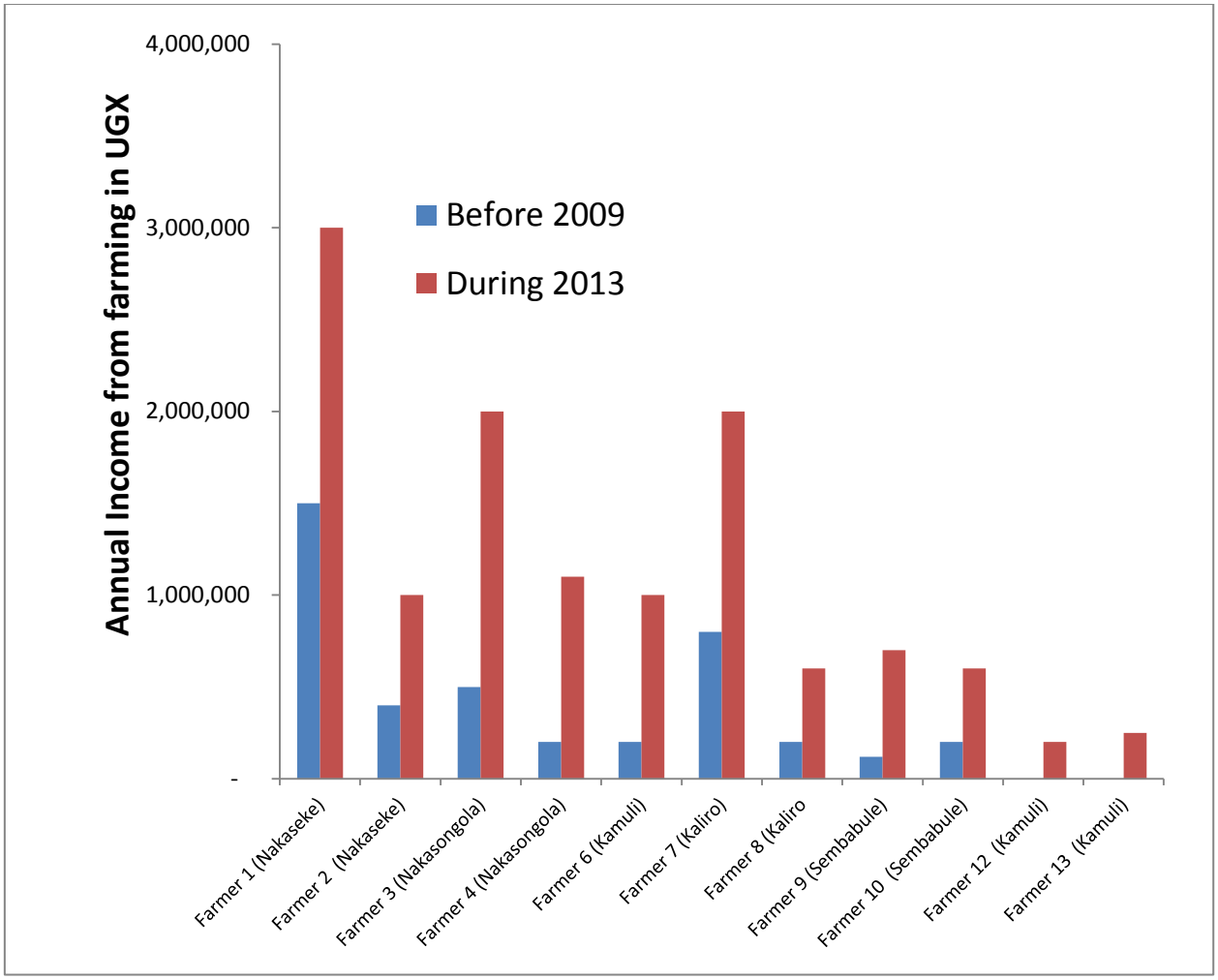
Results of the livelihoods capital are graphically illustrated below. The graph shows changes in livelihoods before and over the project period.

Livelihood assessments for sampled SLM farmers



Indeed, there were observed changes in livelihoods as a result of the benefits realized through the small grants and training supported by the project.

Financial capital: In some cases, household income increase more than twofold. Farmers reported increased crop production (for example interviewed farmers and focus group discussions indicated that on average maize production increased from 3 bags per acre to 10 bags on average by end of the project) which they attributed to the introduced SLM conservation agriculture technologies. Increased crop production enabled farmers to have more surplus harvests for sale, thus increasing their income earnings.



Income increases for the interviewed beneficiary farmers

Some of the SLM beneficiary farmer groups received a zero-grazing dairy cow, which was a boost, especially to families that never owned any. The cows are also producing milk, and part of which is sold for cash. In most cases, the first batch of offspring has been distributed to other farmers in the group who did not receive a cow as part of the grant funding. For the most part, households are able to sell their commodities and buy essentials from the local markets that are scattered throughout the district. Livestock and crops sales are largely done in local area markets. From the local markets, traders take some of the goods to Kampala for sale. One challenge that most of the farmers indicated is access to markets, particularly the relative long distance to the nearest tarmac road. Poorly maintained feeder roads limit passage to some areas, especially during the rainy seasons.

Household financial assets have potential to further increase, if the farmer groups leverage their increased production. There was evidence of farmers able to leverage credit from their crop income earnings. Credit schemes are implemented, for example, as revolving funds (e.g., Tusubira Women group in Nakasongola). Income security of the farmers is more likely to be sustainable. The revolving funds established by the groups are easy to manage, inexpensive, relevant to the members' needs, appropriate to the local conditions, well understood by the members, and besides financial access, the revolving fund schemes provide social support, members interaction/networking and cohesion among the members.

Natural capital: Farm land is by far the most valuable asset these families have. Farm sizes vary from district to district among the target districts. Farmers owned land ranging from 2-80 acres though the land acreage per household generally smaller in Kamuli and Kaliro districts. Farmers in the latter two districts engage mainly in cattle keeping both paddocking and free range, thus requiring large pieces of land. However the

land is overgrazed and degraded resulting into bare ground with patches of thicket and bushes. There was no change in farm size as the average acreage over the project lifespan.

The increase in physical assets) as seen in the livelihoods assessment graph above is partly attributed to improved soil quality. The soil quality improvement was realized through SLM technologies (e.g., manuring, soil & water conservation practices, such as minimum tillage and mulching, small scale irrigation etc.). If CA practices continue at these farms, soil quality is expected to improve in the long run.

Human capital: Although the level of education of most of the farmers has remained the same, there is marked increase in skills development evidenced by the increment positive changes in human assets on the livelihoods assessment graph. The increased in human capital is due to skills gained in value-addition, such as milk production, making yogurt, hay making, dairy management, financial management and most significantly conservation agriculture of various types like minimum tillage and basins, mulching, and use of organic manure.

Social capital: The farmers groups that were selected to participate in SLM project were already belonging to some group before the project started. The groups were strengthened through training & grants management. Groups members have been able to make use the financial management skills they gained over the project period to establish and manage revolving funds/ credit schemes. They have enhanced their bargaining power through bulk purchase of inputs, take advantage of price reductions, receive donor & government support, and the women have received protection by the groups from losing their SLM project investments when family conflicts arise. SLM farmers are occasionally hired as trainers of trainers to disseminate knowledge acquired from the project.

Physical capital: There was also an increase in physical assets among the beneficiary households. Farmers adopted SLM practices e.g., energy efficiency stoves, water harvesting tanks, soil and water conservation structures. Farmers reported a reduction in the number of times they collect fuel wood. Rainwater-harvesting tanks have been constructed to bridge the gap of water availability for domestic, animals & irrigation. Farmers report that the availability of the water through water-harvesting tanks has freed women and children from the burden of spending long-time fetching water.

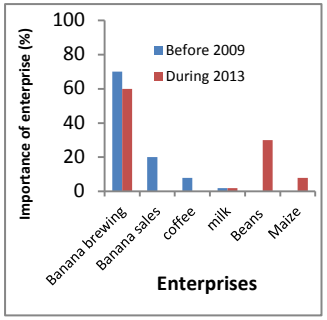
Enhanced Crop Diversification Realized

One of the main livelihood benefits realized by the beneficiary farmers was crop diversification. For example, in Nakasongola, farmers diversified with groundnuts and cassava, while in Kamuli bananas were added by some farmers. Some of the households also added fruit trees in their gardens as a result of knowledge and skills gained from project support. This diversification has provided added value and stimulated agro-trading, e.g., by introducing maize milling and trading.

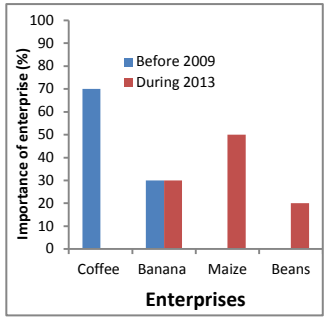
Also, the additional crops have contributed to improved food and income security. For example, farmers reported more meals (three meals) afforded to their families following the implementation of the project, an improvement from the largely 2 meals taken before the project.

A summary of crop diversification is shown in plots below.

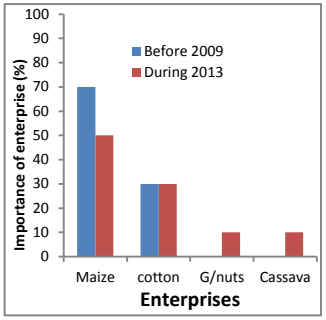
Diversification of Farm Output



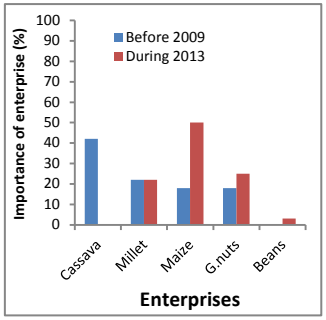
Farmer 1 Nakaseke



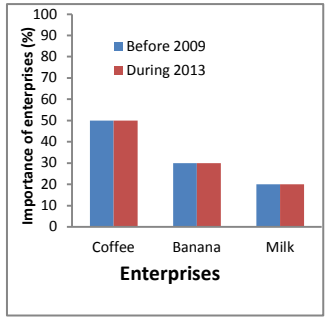
Farmer 2 Nakaseke



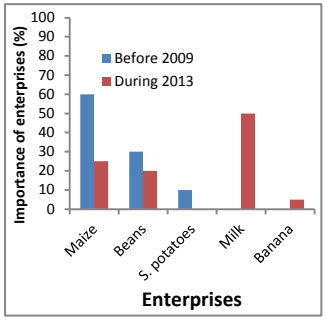
Farmer 3 Nakasongola



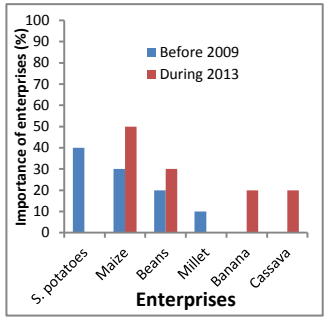
Farmer 4 Nakasongola



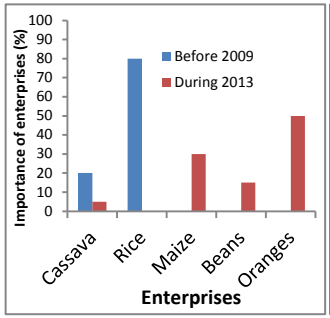
Farmer 5 Lyantode



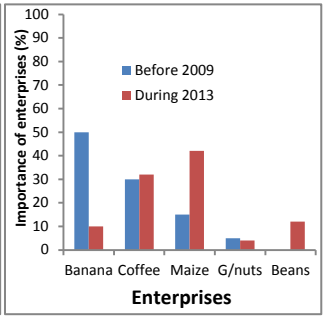
Farmer 6 Kamuli



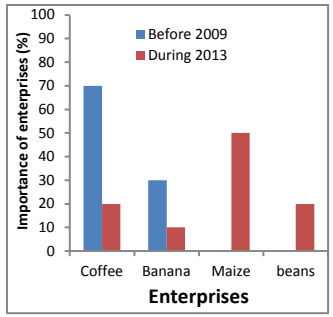
Farmer 7 Kaliro



Farmer 8 Kaliro



Farmer 9 Sembabule



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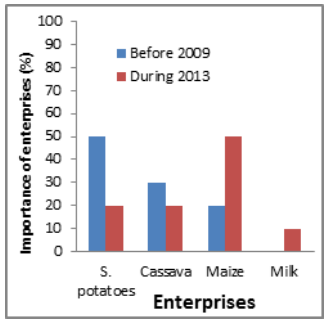
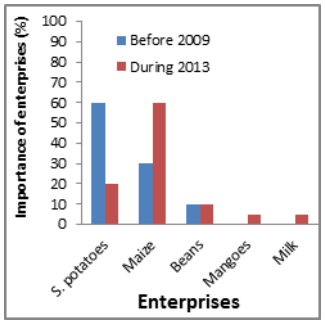


Farmer 12 Kamuli



Farmer 13 Kamuli

Annex 6: Evaluation Matrix

Evaluation Criteria Questions	Indicators	Sources	Methodology	Terminal Evaluation Findings
Relevance: How does the project relate to the main objectives of the focal area, and to the environment and development priorities at the local, regional and national levels?				
How does the project relate to the main objectives of the focal area, and to the environment and development priorities at the local, regional and national levels?			Desk review, interviews	The project has made major contributions to mainstreaming sustainable land management at the low level, which is closely aligned with Strategy 4 under the National Development Plan, i.e., "Enhance productivity of land through sustainable land use and management of soil and water resources". The project activities were also closely linked to the Uganda Agriculture Sector Development Plan and Investment Strategy (DSIP): 2010/11-2014/15, the National Environmental Action Plan (NEAP), the Poverty Eradication Action Plan (PEAP), the Plan for the Modernization of Agriculture (PMA), the Environment and Natural Resources Sector Investment Plan (ENR/SIP), and the Comprehensive African Agriculture Development Programme (CAADP). The project also contributes toward Uganda's efforts in fulfilling the Millennium Development Goals (MDGs), specifically MDG 1 (to eradicate extreme poverty and hunger), MDG 3 (to promote gender equality and empowering women), and MDG 7 (to ensure environmental sustainability). As food security was enhanced with implementation of sustainable agriculture techniques, advances were also made toward MDG 4 (to reduce child mortality rates) and MDG 5 (to improve maternal health).
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?				
To what extent have the expected outcomes and objectives of the project been achieved?			Desk review, interviews, field visits	There was compelling evidence of improved livelihoods among the local farmers who participated in training on conservation agriculture techniques and who received capital support, in the form of zero-grazing livestock, rainwater harvesting, bio-gas energy units, etc.,. Capacity building was effective on several fronts, starting with the beneficiary farmers, district officers, and central government officials. Finalization of the CSIF was a major accomplishment, in progressing

Evaluation Criteria Questions	Indicators	Sources	Methodology	Terminal Evaluation Findings
				toward a more programmatic approach to SLM, compared to the individual and often uncoordinated project-based tendency in the past.
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?				
Was there evidence of compliance with incremental cost criteria?			Desk review, interviews	With respect to incremental cost criteria, the funding of mainstreaming SLM in district planning is considered efficient. Under "business as usual" practices beforehand, SLM activities have been included in district plans, but inclusive planning and targeted budgeting was largely not in place.
Were planned activities completed according to expectations and according to schedule?			Desk review, interviews	Delay in implementation reduced overall efficiency; more than 50% of the money spent in 3rd year, allowing insufficient time for monitoring and consultation of results.
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?				
To what extent are there financial risks to sustaining long-term project results?	Allocated budget	DDPs at district level Central government level funding.	Desk review, interviews	Fund-raising capacity among local farmers is fairly strong. Government funding to districts increasing for SLM activities (e.g., through NAADS), but public expenditure on agriculture remains low. Also, the cost of the implemented DEAP process is disproportionate with district funding levels.
To what extent are there socio-economic risks to sustaining long-term project results?			Desk review, interviews, field visits	Social capital was significantly improved among target beneficiary farmer groups. Socio-economic pressures on land resources remain high; e.g., some of the target districts receive the largest share of local revenue from excise tax levied on charcoal producers.
To what extent are there institutional risks to sustaining long-term project results?	Institutional and management structures in place	District authorities Central authorities	Desk review, interviews	The project made significant contributions in strengthening institutions, both at local and central levels.
To what extent are there environmental risks to sustaining long-term project results?			Desk reviews, interviews	Adoption of conservation agriculture techniques could eventually lead to improved soil fertility.

Evaluation Criteria Questions	Indicators	Sources	Methodology	Terminal Evaluation Findings
Impact:				
Have local Governments in the target Districts devote significant budgets to SLM?		DDPs, testimonial evidence	Desk review, interviews	Districts have traditionally implemented SLM activities; there has not been a significant increase in the SLM budget allocations. The project has, however, helped mainstream SLM priorities into the planning process.
Have local communities are deriving increased livelihood benefits from enhanced land management activities?	Increases in household income, increase in food security, increase in personal security	Beneficiary farmers	Desk review, interviews, field visits	Among beneficiary households, there were significant benefits on all dimensions of livelihood assets, including financial assets, nature capital, human capital, social capital, and physical assets. The project demonstrated that focused capacity building and limited capital support can yield substantial household level improvement.
Stakeholder Involvement:				
Did the project consult with and make use of the skills, experience, and knowledge of the appropriate government entities, NGOs, community groups, private sector entities, local governments, and academic institutions?	Active stakeholder involvement	Meeting minutes, reports, interview records	Desk review, interviews, field visits	Local communities were the primary beneficiaries of the project. Through the extensive and inclusive DEAP process, the project facilitated bottom-up outreach, starting at villages, parishes, sub-counties, and finally up to district headquarters. From a central government level, the multi-stakeholder CSIF platform includes representatives from the MAAIF, MWE, MTTI, MEMD, MLHUD, and private sector and civil society organizations. Representatives from the 5 participating ministries were interviewed during the evaluation mission, and each stressed confidence that this inter-ministerial collaboration structure will continue to function after project closure. There was limited evidence available to the evaluation team of inclusion of private sector and civil society organizations in the multi-stakeholder CSIF platform.

Evaluation Criteria Questions	Indicators	Sources	Methodology	Terminal Evaluation Findings
Catalytic Role:				
Explain how the project has had a catalytic or replication effect in the country and/or region.	Reference by other projects, programs	Interview records, project fact sheets	Desk review, interviews	The conservation agriculture demonstrations that the project supported through farmer-to-farmer exchange visits and field-level training have had a significant effect on local communities. The capacity building of the district coordinators, who are staff officers of the district headquarters, was successful in not only strengthening the knowledge of these individuals, but also mainstreaming SLM at the district level. With respect to scaling up some of the approaches promoted through the project, there are several ongoing and upcoming projects and programs; including the ATAAS project, COMESA project on CA, and at least three GEF-financed projects.
Financial Planning				
Did the project have the appropriate financial controls, including reporting and planning, that allowed management to make informed decisions regarding the budget and allowed for timely flow of funds?		Audit reports, project accounting records, level of attainment of project outcomes	Desk review, interviews	Financial management on the project was found to be satisfactory. The project had a full-time financial assistant, who maintained activity-based accountancy records. These were much more useful in evaluating project expenditure history than the combined delivery reports, in which it was difficult for the evaluation team to match reported expenses to project activities.
Was there due diligence in the management of funds and financial audits?		Audit reports, project accounting records	Desk review, interviews, field visits	One financial audit report, made by the Uganda Office of the Auditor General for the year ended 31st December 2012, was provided to the evaluation team. The audit clause in the project document is a bit unclear, but the evaluation team understands that annual audits were planned. The 2012 audit report outlined one shortcoming, indicating that it was difficult to ascertain whether fuel drawn on prepaid cards were used only for project activities.
Did promised co-financing materialize?		Audit reports, project accounting records	Desk review, interviews	With respect to co-funding, a sum of USD 23,040 was committed to be spent by the Meteorology Department (MET) of the Ministry of Water and Environment on weather monitoring equipment. According to information provided by the MET to the evaluation team, a total of USD

Evaluation Criteria Questions	Indicators	Sources	Methodology	Terminal Evaluation Findings
				12,867 was expended by MET, or roughly 55% of the co-funding amount indicated.
Supervision and Backstopping				
Did UNDP staff identify problems in a timely fashion and accurately estimate their seriousness?		Interview records, progress reports	Desk review, interviews	The UNDP staff and management were actively engaged in the project. UNDP provided professional support and back-stopping to the project management unit, and facilitated partnership arrangements with the lead implementing partner and other responsible parties.
Did the UNDP provide the right staffing levels, continuity, skill mix, and frequency of field visits for the project?		Interview records, progress reports	Desk review, interviews, field visits	The delay in implementation in the first half of the project, 2010-2011, seems to have been partly due to institutional staff changes at the UNDP, i.e., staff that were involved during the project preparation were not with the agency at the time of project approval. Recruitment of the project management team was somewhat delayed due the restructuring of the country office which disrupted projects' implementation.
Monitoring & Evaluation				
Management response to MTE?		Interview records, progress reports	Desk review, interviews	A management response was written up following the mid-term review, and certain adjustments were made. The mid-term evaluation was made a bit late in the process, early 2013.
Results based focus on M&E?		Interview records, progress reports,	Desk review, interviews	The annual work plans provided good summaries of activities that had been completed during the reporting period, and provided logical justification for plans for the subsequent year. In general, however, there was limited focus on the intended results of the project.

Annex 7: Evaluation Consultant Code of Conduct Agreement Form

Evaluators:

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

Evaluation Consultant Agreement Form

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

Name of International Consultant: James Lenoci

Name of National Consultant: John Wasige PhD

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

Signed at Kampala, Uganda on 2014 January 13

Signatures:

James Lenoci **John Wasige PhD**

Annex 8: Terms of Reference

TERMS OF REFERENCE

Title	Individual Consultant (International) – To Undertake a Terminal Evaluation of the Mainstreaming Sustainable Land Management in activities of six cattle corridor districts of Uganda.
Duty station	Kampala, Uganda
Languages required	English
Closing date	October 30, 2013
Tentative starting date	November 4, 2013
Expected duration of assignment	20 Working days
Type of consultancy	International consultant

1.0 BACKGROUND

The Mainstreaming Sustainable Land Management (SLM) in activities of six cattle corridor districts of Uganda project is being implemented in Nakaseke, Lyantonde, Nakasongola, Kamuli, Sembabule, and Kaliro districts. The project is implemented by the Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) and benefits from financial support provided by the Royal Norwegian Government through the UNDP Drylands Development Centre.

The programme in Uganda was stated in 2003. During this phase the programme supported Sembabule District to mainstream/integrate drylands issues into its District Development Plan (DDP). This was achieved through supporting District Environment Action Planning (DEAP) processes. Using the lessons learnt from this experience, a second phase was developed in 2008 to support the above 6 cattle corridor districts also known as the drylands to mainstream SLM activities into their District Development Plans. The project (PRODOC) covering the period 2009-2011 was signed by Government and UNDP in late 2009 and full project implementation began in 2010. The project was scheduled to end on 31 December 2012; however various challenges and constraints derailed the implementation process and led to delays in the full delivery of all intended outputs of the project. UNDP therefore requested a further no cost extension from the donor to enable Uganda to conclude the on-going project activities under implementation as well as to carry out final project evaluations and reporting by 31 December 2013.

The project to mainstream SLM activities in the six cattle corridor districts of Uganda was developed to contribute to the UNDP Country Programme Action Plan (CPAP) outcome "Enterprises and communities, particularly women, are able to access alternative energy, adapt to climate change and sustainably use natural resources for productive purposes".

The main project objectives are: (i) to support mainstreaming of SLM issues into District Development Plans (DDPs) and budgets, (ii) to support adoption of sustainable livelihood and land

management practices by local communities in the cattle corridor districts, and (iii) to strengthen the United Nations Convention to Combat Desertification (UNCCD) and National Action Plan (NAP) Focal Point Office in the Ministry of Agriculture animal Industry and Fisheries (MAAIF) in implementation of the National SLM Investment Framework.

The programme component targeted 3 outputs including:

1. Priority SLM interventions integrated in the DDPs and budgets of 6 districts
2. Priority SLM interventions implemented by rural communities in the 6 target districts
3. Capacity of the UNCCD/NAP focal point strengthened to support SLM country program
4. Lessons learned and best practices synthesised and disseminated

A Mid-Term Review was carried out from January to March 2013. The MTR was aimed at assessing the implementation of the Project as well as the extent to which it had achieved its intended objectives and results, and generating lessons learnt to guide the implementation of the remaining activities of Project. MTR findings highlighted that the Project is very relevant for both the communities , the district and Uganda as a nation in their needs to alleviate poverty through improved land productivity, and relevant for the implementation of the UNCCD. The MTR highlighted that the project had significant impacts at the community and district levels and its institutional framework was good enough to ensure sustainability of results at the national, at sector level, at district and community levels. The project built capacity of districts to mainstream SLM into their development plans and budgets, trained established CBOs in resource mobilisation and carried out activities that addressed long term environmental challenges and addressed all risks that would deter sustainability. As a way forward the MTR recommended that the current project is finalized through a no-cost extension and further phases of the project are followed to ensure full implementation of UNCCD issues in Uganda.

OBJECTIVE AND SCOPE OF THE ASSIGNMENT

The Monitoring and Evaluation (M&E) policy at the project level in 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. A mix of tools is used to ensure effective project M&E. These might be applied continuously throughout the lifetime of the project, e.g., periodic monitoring of indicators, or as specific time-bound exercises such as mid-term reviews, audit reports and independent evaluations.

The UNDP M & E policy stipulates that projects undergo a Terminal Evaluation (TE). TE is beneficial for project performance assessment as it provides an independent in-depth review of project outcomes and impact. TEs are intended to identify unforeseen project design problems and implementation challenges, assess progress towards the achievement of objectives, identify and document lessons learned (including lessons that might improve design and implementation of other UNDP projects), and to make recommendations regarding specific actions that might be taken if a follow up project is to be designed.

The proposed TE will cover the project period up to the end. The TE will be conducted according to the guidance, rules and procedures established by UNDP in the UNDP Evaluation guidelines.

Overall Objective of the TE:

The main objective is to: to assess the extent of achievement of the intended results defined in the PRODOC, and identify opportunities, challenges and lessons learnt during implementation, and determine relevance of a next phase.

Scope of work and deliverables:-

The Consultant will deliver on the following:

i. Assess the validity of assumptions used in the development of the SLM mainstreaming programme;
ii. Appraise the innovativeness of the SLM programme as a delivery mechanism for the implementation of the UNCCD;
iii. Identify strengths and weaknesses in the Programme design and implementation
iv. Ascertain achievements to date; to what extent the Programme has moved towards achievement of the objectives and outputs under the three outcomes in the results framework and the need for continued focus;
v. Assessachievemnst likely sustainability of results;
vi. Examine the significance of un-expected effects, whether beneficial or detrimental in character;
vii. Assess to what extent the Programme has contributed to building capacity at national, district and community levels to formulate, implement and monitor actions/activities for sustainable land management;
viii. Identify and assess lessons learnt and best practices in relation to achievement of the programme objectives and outputs;
ix. Assess how the SLM programme has adapted to emerging issues and trends such as climate change, energy and other emerging issues, etc.;
x. Determine the relevance of continuing the support of the Government of Norway beyond this phase of the Programme (end of current agreement), including possible financial and institutional arrangements to pursue cooperation.

In addition to the above the Consultant is responsible for the following:

i. Review of documentation to be provided by the project (implementation/evaluation reports) ;
ii. Conducting fieldwork together with the technical expert and interview of stakeholders, national and local Government officials, and communities (especially private forest owners) to generate authentic information and opinions;
iii. Writing and compilation of the information and reports as needed;
iv. Responsibility for presentation of key findings highlighting achievements and constraints, and making practical recommendations to decision makers and stakeholders;
v. Finalization of the Terminal Evaluation Report.

Expected Outputs and Deliverables (Addressing the above)

Deliverables / Outputs	Estimated Duration to Complete	Target Due Dates	Review and Approvals Required
Desk review of documents and preparation of inception Report (home-based)	2 days	2 days after contract signing	UNDP Country Director
Presentation of Inception Report	0.5 day	2.5 days after contract signing	Project Manager, Programme Analyst and Programme Associate, Energy and Environment and shall be supervised by the Team Leader, Energy and Environment Unit.
Fieldwork	12 days	14.5 days after contract signing	UNDP Country Director
Prepare and submit Draft Report to UNDP for review by Regional Technical Advisor, Project Coordination Unit, GEF Operational Focal Points	3.5 days	18 days after contract signing	UNDP Country Director
Draft report presentation to stakeholders workshop to validate draft report findings	0.5 day	18.5 days after contract signing	UNDP Country Director
Preparation and submission of Final Terminal Evaluation Report	1.5 days	20 days after contract signing	UNDP Country Director

N.B If there are any significant discrepancies between the impressions and findings of the evaluation team and stakeholders these should be explained in an Annex attached to the final report.

WORKING ARRANGEMENT

Institutional Arrangement

a) With overall reporting to the UNDP Country Director, the Consultant will work on day to day basis with Project Manager, Programme Analyst and Programme Associate, Energy and Environment and shall be supervised by the Team Leader, Energy and Environment Unit.

b) The Consultant will liaise, interact, and collaborate/meet with Officials from District Local Governments as shall be advised.

c) UNDP will support the Consultant in the following areas;

- Access to required information (copy of project document, copy of Mid Term Review Report, Annual Work plans, Progress reports and other project related reports).
- Access to UNDP Office and its infrastructure (e.g conference room and internet while at UNDP)
- Support and assistance to gain access to relevant stakeholders for consultations
- Transport for visits both within Kampala and in the field to Lyantonde, Nakasongola, Nakaseke, Kaliro, Kamuli and Sembabule Districts (for Official purposes only);
- UNDP Kampala and the Project Office will coordinate the study and keep abreast of the mission's activities during the consultants stay.

Duration of the Work

The assignment will be executed in a period of 20 working days staggered between November 4, 2013 and December 5, 2013. The Consultant is expected to adhere to the specific dates due to the urgency to commence implementation of this planned assignment. Any delays or deferment of the assignment may hamper budget allocations for the interventions. UNDP / Other designated authority will approve each deliverable within a maximum of 3 days following the submission of the product by the Consultant.

Requirements for experience and qualifications

- PhD or MSc degree and at least 10 years experience in natural resources management, climate change adaptation/ mitigation, socio-economic development or related fields.
- Familiarity with integrated ecosystems development projects in developing countries, 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 CBOs/community development processes; experience in Sustainable Land Management and the design, implementation and/or management of community and local level sustainable livelihoods initiatives, 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. A demonstrated understanding of UNDP principles and expected impacts in terms of poverty reduction and sustainable development is essential.
- Familiarity and knowledge of the UN Convention to Combat Desertification, integrated approaches to dry lands development and capacity development projects would be an asset
- Excellent English writing and communication skills. 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.

COMPETENCIES

- Excellent Analytical Skills;
- Positive, constructive attitude towards work;

- Ability to act professionally and flexibly to engage with government officials, donor representatives, and local communities.

LANGUAGE REQUIREMENT

- Excellent English writing and communication skills;

Price Proposal and schedule of payments

Payment to the Consultant will be made in two instalments upon satisfactory completion of the following deliverables;

- 30% of the contract amount upon submission of an acceptable inception report;
- 70% of the contract amount upon submission, presentation and approval of draft report and upon submission, presentation and approval of final terminal evaluation report.

Lump Sum Amount approach shall be used *with the following expectations:-*

i) The lump sum amount must be "all-inclusive";

ii) The contract price is fixed regardless of changes in the cost components;

iii) *The initial payment indicated in deliverable one includes the actual cost of the IC's travel to arrive at the designated Duty Station.*

EVALUATION METHOD AND CRITERIA

Individual consultants will be evaluated based on the following methodology:

1. Cumulative analysis

The award of the contract shall be made to the individual consultant whose offer has been evaluated and determined as:

a) responsive/compliant/acceptable, and

b) Having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation. 70%-30%.

** 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 100 points

- *Expertise of the Individual – 30 Points*
- *Description of approach/methodology to assignment – 70 Points*

OCUMENTS TO BE INCLUDED WHEN SUBMITTING THE PROPOSALS.

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

1) Duly accomplished **Letter of Confirmation of Interest and Availability** using the template provided by UNDP (Annex F).
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.
4) **Financial proposal** that indicates the all-inclusive fixed total contract price, supported by a breakdown of costs, as per template provided (Annex G)
5) Interested applicants should send an email to: justine.naiga-bagonza@undp.org and copy agnes.kintu@undp.org for a detailed copy of the Terms of Reference.

ANNEX A

EVALUATION QUESTIONS

The TE will assess the overall relevance, efficiency, effectiveness, impact and sustainability of the SLM programme and will be guided by the following key questions (but not limited to these) relating to the above highlighted issues:

1. Relevance:

- How does the project relate to the main objectives of the UNCCD, to the environment and development priorities at the local, regional and national levels?
- To what extent is it contributing to dry lands development and to UNDP's CPAP and Uganda's overall development goals?
- How have project activities changed in response to new environment conditions, particularly the changing political agendas for land use and ownership? Have the changes been appropriate in line project objectives?
- Is the project still relevant to the problems it was intended to address?

2. Efficiency:

- Assess the project implementation efficiency in line with international and national norms and standards?
- To what extent was the programme delivered in a timely and cost-effective manner?

3. Effectiveness:

- To what extent have the expected outcomes/results and objectives of the project been achieved?
- What progress has been made towards achieving project national and lower level results? What has affected achievement of the results?

4. Impact:

- Assess the indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status in the project area.
- To what extent is the programme contributing to longer term outcomes in the country? How relevant, appropriate and strategic are the project results to national goals and the UNDP mandate?
- What are the unexpected positive and negative results that the project has registered to date?

5. Sustainability:

- Can the outcomes be sustained beyond this funding?
- To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?
- Is there an enabling environment that supports ongoing positive impacts?
- What project sustainability measures exist and what factors are likely to negatively affect project sustainability? Which key factors require attention in order to improve prospects for sustainability of project results?
- How appropriate is the project knowledge transfer strategy? What lessons have been learnt from project implementation?

6. Role of UNDP

- To what extent has UNDP fulfilled its roles during implementation of the project?
- To what extent has the project developed human and institutional capacity?

EVALUATION APPROACH AND METHOD

An overall approach and method[1] for conducting project TE of UNDP supported projects have developed over time. The evaluator is expected to frame the review effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact,** as defined and explained in the UNDP Guidelines for Conducting Terminal Evaluations of UNDP-supported, projects. A set of questions covering each of these criteria have been drafted and are included with this TOR (See *Annex C*) The evaluator is expected to amend, complete and submit this matrix as part of the TE inception report, and shall include it as an annex to the final report.

The TE 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 at national level, UNDP Country Office - project team and UNDP/DDC - IDDP Africa Team Leader attached to the programme and key stakeholders including farmers, Local governments for participating districts and the Royal Norwegian Government.

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual project reports, project budget revisions, 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 the review is included in Annex D of this Terms of Reference.

The evaluation team should present a detailed statement of evaluation

1. EVALUATION CRITERIA & RATINGS

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

Methodology

The evaluation approach will constitute documentary review, field work, qualitative and quantitative data collection and analysis among others, depending on the purpose, objectives, questions of the evaluation and the nature of information available to the evaluators. The consultants shall provide an elaborate methodology that will be agreed upon in advance.

Interviews (in person / telephone / by Skype) with:

- UNDP (Project Manager, Technical Advisor, relevant Country Office and Regional staff) / and Regional staff from the Drylands Development Centre who have project responsibilities;
- Members of the Project Board
- Project Focal Points in the different ministries/parastatals participating in the project;
- Project stakeholders, particularly local partners and project beneficiaries
- Relevant staff in participating government departments.

Field visits: Will be arranged with implementing local Government Offices - Districts and project beneficiaries.

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

2. Evaluator ethics

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

3. Post Qualification of Proposals

UNDP reserves the right to undertake a post-qualification exercise aimed at determining, to its satisfaction the validity of the information provided by the Proposer. Such post-qualification shall be fully documented and, may include, but need not be limited to, all or any combination of the following:

a) Verification of accuracy, correctness and authenticity of information provided by the Proposer on the legal, technical and financial documents submitted;
b) Validation of extent of compliance to the RFP requirements and evaluation criteria based on what has so far been found by the evaluation team;
c) Inquiry and reference checking with Government entities with jurisdiction on the Proposer, or any other entity that may have done business with the Proposer;
d) Inquiry and reference checking with other previous clients on the quality of performance on ongoing or previous contracts completed;
e) Physical inspection of the Proposer's offices, branches or other places where business transpires, with or without notice to the Proposer;
f) Quality assessment of completed outputs, works and activities similar to the requirements of UNDP, where available; and
g) Other means that UNDP may deem appropriate, at any stage within the selection process, prior to awarding the contract.

Clarification of Proposals

To assist in the examination, evaluation and comparison of Proposals, UNDP may, at its discretion, ask any Proposer for a clarification of its Proposal.

UNDP's request for clarification and the response shall be in writing. Notwithstanding the written communication, no change in the prices or substance of the Proposal shall be sought, offered, or permitted, except to provide clarification, and confirm the correction of any arithmetic errors discovered by UNDP in the evaluation of the Proposals.

Any unsolicited clarification submitted by a Proposer in respect to its Proposal, which is not a response to a request by UNDP, shall not be considered during the review and evaluation of the Proposals.

Responsiveness of Proposal

UNDP's determination of a Proposal's responsiveness will be based on the contents of the Proposal itself. A substantially responsive Proposal is one that conforms to all the terms, conditions, TOR and other requirements of the RFP without material deviation, reservation, or omission.

If a Proposal is not substantially responsive, it shall be rejected by UNDP and may not subsequently be made responsive by the Proposer by correction of the material deviation, reservation, or omission.

Non-conformities, Reparable Errors and Omissions

Provided that a Proposal is substantially responsive, UNDP may waive any non-conformities or omissions in the Proposal that, in the opinion of UNDP, do not constitute a material deviation.

Provided that a Proposal is substantially responsive, UNDP may request the Proposer to submit the necessary information or documentation, within a reasonable period of time, to rectify non material non conformities or omissions in the Proposal related to documentation requirements. Such omission shall not be related to any aspect of the price of the Proposal. Failure of the Proposer to comply with the request may result in the rejection of its Proposal.

Provided that the Proposal is substantially responsive, UNDP shall correct arithmetical errors as follows:

a) if there is a discrepancy between the unit price and the line item total that is obtained by multiplying the unit price by the quantity, the unit price shall prevail and the line item total shall be corrected, unless in the opinion of UNDP there is an obvious misplacement of the decimal point in the unit price, in which case the line item total as quoted shall govern and the unit price shall be corrected;
b) if there is an error in a total corresponding to the addition or subtraction of subtotals, the subtotals shall prevail and the total shall be corrected; and
c) if there is a discrepancy between words and figures, the amount in words shall prevail, unless the amount expressed in words is related to an arithmetic error, in which case the amount in figures shall prevail subject to the above.

If the Proposer does not accept the correction of errors made by UNDP, its Proposal shall be rejected.

Data sheet 15a. PROPOSAL EVALUATION CRITERIA

Summary of Technical Proposal Evaluation Forms		Score Weight	Points Obtainable
1.	Expertise of Individual applicant	30%	30
2.	Proposed Methodology, Approach and Implementation Plan	70%	70
	Total		**100**

Technical Proposal Evaluation :Form 1		Points Obtainable
Proposed Methodology, Approach and Implementation Plan		
2.1	To what degree does the Proposer understand the task?	4
2.2	Have the important aspects of the task been addressed in sufficient detail?	10

2.3	Are the different components of the project adequately weighted relative to one another?	7
2.4	Is the proposal based on a survey of the project environment and was this data input properly used in the preparation of the proposal?	10
2.5	Is the conceptual framework adopted appropriate for the task?	9
2.6	Is the scope of task well defined and does it correspond to the TOR?	20
2.7	Is the presentation clear and is the sequence of activities and the planning logical, realistic and promise efficient implementation to the project?	10
		70

Expertise of the Individual Consultant	
1.1 Reputation of individual / Credibility / Reliability	2
1.2 Relevance of specialized knowledge	10
1.3 Experience on similar program/projects	9
1.4 Experience on projects in the region	6
1.5 Experience of work with UDNP/major multilateral/bilateral programs	3
	30

ANNEX D: LOGICAL FRAMEWORK MATRIX

UNDAF Outcome : Increased opportunities for people, especially the most vulnerable, to access and utilize quality basic services and realize sustainable employment, income			
UNDAF output ***Poor people have increased access to and use of productive assets, technologies and energy***			
CPAP Outcome ***Principles of sustainable development integrated into country policies/strategies and loss of environmental resources reversed***			
CPAP Output: National and Local government plans integrate environment			
Narrative summary (Outcomes, output and activities)	**Targets**	**Means of Verification**	**Risks and Assumptions**
Long term objective: To contribute to sustainable land management and enhance the livelihoods of local communities in the dry lands of Uganda	Local Governments in the target Districts devote significant budgets to SLM Local communities are deriving increased livelihood benefits from enhanced land management activities.	-Evidence of funds allocated under specific budget lines for SLM reflected in approved budgets, Annual Work Plans and DDPs of target the target Districts - Evidence of improved livelihoods of target communities in form of increased sources of income, food security and enhanced skills in land management	-Local Governments do not prioritize sustainable land management -Local Governments and other key institutions will not commit the resources needed to maintain community initiatives beyond the life of the project -Local communities are not willing to change and adapt to new technologies - Negative political interference
Output 1: **SLM PRIORITY INTERVENTIONS INTEGRATED IN THE DDPS AND BUDGETS OF SELECTED DISTRICTS IN THE CATTLE CORRIDOR** 1.2 Prepare DEAPs and SEAPs in the 4 districts 1.3 Integrate priority SLM isues and Climate change adaptation issues in SDPs and DDPs of the selected districts 1.4 Strengthen the capacity of districts for SLM monitoring and decision making through appropriate support tools and systems	-Number of draft DEAPs prepared in the Districts of Kaliro, Kamuli in Year 1. - Number of DEAPs reviewed in the Districts of Nakasongola and Sembabule - Number of SLM policy papers prepared. -Number of SDP and DDPs integrating SLM issues. - Computers, motor cycles and weather equipment procured and functioning in the 6 target districts - District capacity enhanced for decision making and monitoring of SLM activities - Number of SEAPs and DEAPs finalized for the 4 Districts of Lyantonde, Nakaseke, Kamuli and Kaliro. - SDPs and DDPs have visible budgets for	-Draft DEAPs in Districts of Kaliro and Kamuli by end of Year 1. -DEAPs review meetings minutes in the Districts of Nakasongola and Sembabule. -SLM policy papers prepared. -Reports, documents, minutes of meetings) of SDPs and DDPs with SLM issues Integrated. - Delivery notes, log books and asset registers for project equipment supplied and functioning in the target districts. -Workshops reports, quarterly and annual Progress reports in place. -Minutes of meetings, signature pages or council resolutions for SEAPs and DEAP approval in the target districts.	-Preparation and compilation of Parish Environment Action Plans not completed by year 1 -DDP processes do not include SLM during budget allocations - Districts neglect maintenance of project equipment and motor cycles -Poor record keeping in the Districts. -Negative political interference. - Limited community participation the project particularly the initial environmental planning processes and thus limited ownership and Sustainability.

UNDAF Outcome : Increased opportunities for people, especially the most vulnerable, to access and utilize quality basic services and realize sustainable employment, income			
UNDAF output ***Poor people have increased access to and use of productive assets, technologies and energy***			
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Long term objective: To contribute to sustainable land management and enhance the livelihoods of local communities in the dry lands of Uganda	Local Governments in the target Districts devote significant budgets to SLM Local communities are deriving increased livelihood benefits from enhanced land management activities.	-Evidence of funds allocated under specific budget lines for SLM reflected in approved budgets, Annual Work Plans and DDPs of target the target Districts - Evidence of improved livelihoods of target communities in form of increased sources of income, food security and enhanced skills in land management	-Local Governments do not prioritize sustainable land management -Local Governments and other key institutions will not commit the resources needed to maintain community initiatives beyond the life of the project -Local communities are not willing to change and adapt to new technologies - Negative political interference
	SLM - Number of capacity enhancement activities, number of training reports and number of draft ordinances/ byelaws addressing SLM issues.	-SLM budgets allocations in SDPs, DDPs, Annual Work plans and annual budgets. -Attendance lists, training reports, draft ordinances/ byelaws	
OUTPUT 2: SLM PRIORITY INTERVENTIONS IDENTIFIED AND IMPLEMENTED BY RURAL COMMUNITIES IN SIX TARGET DISTRICTS **2.1 Identify, prioritize and pilot community**	-Number of farmer innovators, farmer networks Meetings and exchange visits. -Number of on-the –ground local community SLM initiatives under implementation. - Number of market linkages for SLM friendly products developed. -Two research projects on termites	-Registers of farmer innovators, minutes of farmer networks and reports of Exchange visits. - Evidence (sign posts, Project Management Committees (PMCs) of successful community projects are on the ground in target districts as observed through inspections. - MoUs between dry land products producers among beneficiary	-Late disbursement of funds -Local communities are not keen participating in the project - Lack of appropriate capacity of service providers to assist the communities. -Inadequate levels of production for dry lands products to meet the market demand.

UNDAF Outcome : Increased opportunities for people, especially the most vulnerable, to access and utilize quality basic services and realize sustainable employment, income			
UNDAF output ***Poor people have increased access to and use of productive assets, technologies and energy***			
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Narrative summary (Outcomes, output and activities)	**Targets**	**Means of Verification**	**Risks and Assumptions**
Long term objective: To contribute to sustainable land management and enhance the livelihoods of local communities in the dry lands of Uganda	Local Governments in the target Districts devote significant budgets to SLM Local communities are deriving increased livelihood benefits from enhanced land management activities.	-Evidence of funds allocated under specific budget lines for SLM reflected in approved budgets, Annual Work Plans and DDPs of target the target Districts - Evidence of improved livelihoods of target communities in form of increased sources of income, food security and enhanced skills in land management	-Local Governments do not prioritize sustainable land management -Local Governments and other key institutions will not commit the resources needed to maintain community initiatives beyond the life of the project -Local communities are not willing to change and adapt to new technologies - Negative political interference
interventions on SLM **2.2 Undertake integrated research on termites**	completed and M.Sc. theses prepared for submission to the relevant University Faculty.	communities with organized buyers from urban centres. - Evidence (thesis, dissertations, models) of successful research projects are observed in the target districts through inspections	-Poor quality of dry land products which does not meet the market demands. - Research projects on termites do not yield tangible results. -Inadequate time for conclusive research on the subject.
Output 3: The capacity OF UNCCD/NAP focal point and the inter-ministerial committee on SLM strengthened to support SLM country programmes **3.1 Support the PMU to implement the UNDPDDC component** **3.2 Develop the rangelands Policy**	An inter-ministerial committee supported by a UNCCD NAP Focal point office in place and efficiently functioning. - Quarterly and Annual progress reports and work plans -A National Rangelands Policy and Pastoral Code in place. - Printed Final CSIF document in place and Number of CSIF meetings held.	-Functional inter-ministerial committee and UNCCD NAP Focal Point in place with PMU offices in place (with staff, equipment, records etc) Inception meeting report and meeting minutes -Copies of the National Rangelands Policy and Pastoral Code - Copy of CSIF document and Attendance lists in minutes and reports of stakeholders meetings/ workshops/seminar	-Inadequate support from the different Ministries that constitute the Inter-ministerial committee on SLM. -Project management weakness as a result of not getting a competent PMU. - Unforeseen delays in finalizing with the National Rangeland Policy

UNDAF Outcome : Increased opportunities for people, especially the most vulnerable, to access and utilize quality basic services and realize sustainable employment, income			
UNDAF output ***Poor people have increased access to and use of productive assets, technologies and energy***			
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Long term objective: To contribute to sustainable land management and enhance the livelihoods of local communities in the dry lands of Uganda	Local Governments in the target Districts devote significant budgets to SLM Local communities are deriving increased livelihood benefits from enhanced land management activities.	-Evidence of funds allocated under specific budget lines for SLM reflected in approved budgets, Annual Work Plans and DDPs of target the target Districts - Evidence of improved livelihoods of target communities in form of increased sources of income, food security and enhanced skills in land management	-Local Governments do not prioritize sustainable land management -Local Governments and other key institutions will not commit the resources needed to maintain community initiatives beyond the life of the project -Local communities are not willing to change and adapt to new technologies - Negative political interference
3.3 Prepare the SLM Country Strategic Investment Frame work			

ANNEX B

LIST OF DOCUMENTS TO BE REVIEWED BY THE EVALUATORS

Reference Materials

- Project Document for the mainstreaming SLM activities in the 6 cattle corridor districts
- Quarterly and annual progress reports and work plans of the project;
- Minutes of the Project Board.
- Financial and Administration guidelines;
- Any other project-related documents (e.g. draft Communication Strategy).
- Quarterly and Annual Project performance Reports
- Project Monitoring and Evaluation Plan
- UNDP Quality Criteria for Evaluation Report
- Ethical Code of Conduct for Evaluation in UNDP
- The Evaluation Policy of UNDP
- United Nations Evaluation Group Standards for Evaluation in the UN (2005)
- Norms of Evaluation in the UN system
- Any other relevant documents (to be identified)
- Guidelines for Ratings
- Terminal Evaluation Sample Report Outline

EVALUATION QUESTIONS

Evaluative Criteria	Questions	Indicators	Sources
Relevance: How does the project relate to the main objectives of the project outputs, outcomes, and to the environment and development priorities at the local, regional and national levels?			
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
Efficiency: Assess the project implementation efficiency in line with international and national norms and standards?			
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
Impact: Assess whether there are indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status			

ANNEX D

RATINGS

Ratings Scales		
Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution	**Sustainability ratings**	**Relevance ratings**
6: Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency 5: Satisfactory (S): There were only minor shortcomings 4: Moderately Satisfactory (MS):there were moderate shortcomings 3. Moderately Unsatisfactory (MU): the project had significant shortcomings 2. Unsatisfactory (U): there were major shortcomings in the achievement of project objectives in terms of relevance, effectiveness, or efficiency 1. Highly Unsatisfactory (HU): The project had severe shortcomings	4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	2. Relevant (R) 1. Not relevant (NR) *Impact Ratings:* 3. Significant (S) 2. Minimal (M) 1. Negligible (N)
Additional ratings where relevant: Not Applicable (N/A) Unable to Assess (U/A)		

ANNEX E

EVALUATION CONSULTANT CODE OF CONDUCT AGREEMENT FORM

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.

2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.

3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive

information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.

4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.

5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.

6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.

7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form

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

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

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

Signed at (place) on date

Signature: _____

Cont'n ANNEX E

EVALUATION REPORT OUTLINE

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

i. Opening page:

„„ Title of UNDP supported
„„ „„ Evaluation time frame and date of evaluation report
„„ Region and countries included in the project
„„ Implementing Partner and other project partners
„„ Evaluation team members
„„ Acknowledgements

ii. Executive Summary

„„ Project Summary Table
„„ Project Description (brief)
„„ Evaluation Rating Table
„„ Summary of conclusions, recommendations and lessons

iii. Acronyms and Abbreviations

1. Introduction

„„ Purpose of the evaluation
„„ Scope & Methodology
„„ Structure of the evaluation report

2. Project description and development context

„„ Project start and duration
„„ Problems that the project sought to address
„„ Immediate and development objectives of the project
„„ Baseline Indicators established
„„Main stakeholders
„„ Expected Results

3. Findings

(In addition to a descriptive assessment, all criteria marked with (*) must be rated)

3.1 Project Design / Formulation

- Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
- Assumptions and Risks
- Lessons from other relevant projects (e.g., same focal area) incorporated into project design
- Planned stakeholder participation
- Replication approach
- UNDP comparative advantage
- Linkages between project and other interventions within the sector
- Management arrangements

3.2 Project Implementation

- Adaptive management (changes to the project design and project outputs during implementation)

- Partnership arrangements (with relevant stakeholders involved in the country/region)
- Feedback from M&E activities used for adaptive management
- Project Finance:
- Monitoring and evaluation: design at entry and implementation (*)
- UNDP and Implementing Partner implementation / execution (*) coordination, and operational issues
-

3.3 Project Results

- Overall results (attainment of objectives) (*)
- Relevance(*)
- Effectiveness & Efficiency (*)
- Country ownership
- Mainstreaming
- Sustainability (*)
- Impact

4. Conclusions, Recommendations & Lessons

„„ Corrective actions for the design, implementation, monitoring and evaluation of the project

„„ Actions to follow up or reinforce initial benefits from the project

„„ Proposals for future directions underlining main objectives

„„ Best and worst practices in addressing issues relating to relevance, performance and success

5. Annexes

„„ ToR
„„ Itinerary
„„ List of persons interviewed
„„ Summary of field visits
„„ List of documents reviewed
„„ Evaluation Question Matrix
„„ Questionnaire used and summary of results
„„ Evaluation Consultant Agreement Form