



TERRITORIAL APPROACH TO CLIMATE CHANGE (TACC) PROJECT FOR THE MBALE REGION OF UGANDA

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Key result area (Strategic Plan): Environment and Climate Change

Implementing Partner: Mbale District Local Government



Report of the Terminal Evaluation Mission

January 2014

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The views expressed in this report are intended to offer an overview of, and some of the lessons learned from, this Project as it comes to its conclusion. We have tried to balance our thoughts and to offer fair perspectives of what was observed and learned from people far more knowledgeable about the Project and its context than we will ever be. We have given continuity to some of the recommendations, lessons learned and management evaluations of the MTR as they were valid at this stage also.

And finally, one of the delights of this sort of work remains that of visiting new and extremely welcoming country and going home again having made new friends, seen new things, and witnessed with great admiration the dedication and enthusiasm that so many people bring to their work in addressing climate change issues of global significance. We would like to thank them and wish them every success in their continuing endeavors.

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ACRONYMS AND TERMS

APR	Annual Project Report
ARDI	African Rural Development Initiatives
BD	Biodiversity
CAO	Chief Administrative Officer
CAP	Coalition Against Poverty
CBO	Community-based Organisation
CC	Climate Change
CCU	Climate Change Unit
CDM	Clean Development Mechanism
CO	Country Office
COP	Convention of Parties
CPAP	Country Programme Action Plan
CPAP	Country Programme Action Plan
DANIDA	Danish International Development Agency
DDP	District Development Plan
DEAP	District Environment Action Plan
DFID	Department for International Development (of UK)
DLG	District Local Government
DSIP	Development Strategy and Investment Plan
EBA	Ecosystem-based Adaptation
ENR	Environment and Natural Resources
ENRM	Environment and Natural Resource Management
ENSO	El Niño-Southern Oscillation
FIEFCO	Farm Income Enhancement & Forestry Conservation
GEF	Global Environment Facility
I/NGO	International /Non-Govern Organisation
IPCC	Intergovernmental Panel on Climate Change
ITCP	Integrated Territorial Climate Plan
IUCN	International Union for the Conservation of Nature – The World Conservation Union
KTB	Kenya Top Bar (bee hive)
LFA	Log-frame analysis
MAAIF	Ministry of Agriculture Animal Industries and Fisheries
M &E	Monitoring and Evaluation
MCAP	Mbale Coalition Against Poverty
MEREC	Mt. Elgon Regional Ecosystem Conservation Program
MoLG	Ministry of Local Government
MoU	Memorandum of Understanding
MWE	Ministry of Water and Environment
MTR	Mid-term Review
NAADS	National Agriculture Advisory Services
NAPA	National Adaptation Plan of Action
NAPADA	Nabweya Parish Development Association
NCCP	National Climate Change Plan
NDP	National Development Plan
NEMA	National Environment Management Authority
NFA	National Forest Authority

NFP	National Forest Plan
NGO	Non-Government Organisation
NIM	National Implementation Model
PB	Project Board
PIR	Project Implementation Report
PM	Project Manager
PMO	Project Management Office
PMU	Project Management Unit
Prodoc	Project Document
PSC	Project Steering Committee
RCCF	Regional Climate Change Forum
REDD	Reduction of Emission from Deforestation and Forest Degradation
ROtI	Review of Outcome to Impact
RRF	Result and Resources Framework
SDP	Sub-county Development Plan
SEAP	Sub-county Environment Action Plan
SGP	Small Grant Programme
SMART	Specific, Measurable, Achievable, Relevant and Timely
TACC	Territorial Approach to Climate Change
TE	Terminal Evaluation
TET	Terminal Evaluation Team
TGCC	Thematic Group on Climate Change
ToR	Terms of Reference
UJWA	Uganda Joint Women Association
UN	United Nation
UNDAF UN	Development Assistance Framework
UNDAF	UN Development Assistance Framework
UNDP HQ	UNDP Head Quarter
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
US\$	United States Dollar
UWA	Uganda Wildlife Authority
WAG	Welsh Assembly Government
WWF	World Wildlife Fund

Currency of Uganda is the Ceiling. At the time of the final evaluation, US\$ 1 = Uganda Ceiling 2500.

Executive Summary

This Terminal Evaluation (TE) has been conducted as part of the Monitoring and Evaluation plan of the UNDP/GEF Project: “Territorial Approach to Climate Change (TACC) Project for the Mbale Region of Uganda”, and will be referred to as the “Project” in the scope of this report. The TE mission to Uganda was conducted from 12th December to 23rd December 2013. Extensive consultations with the project partners were also conducted prior and following the mission to ensure a good understanding of the project’s results; leading to the submission of the TE report on the date of this report.

Project Summary Table

As per GEF’s requirements for TE, the Project Summary Table is provided below:

Project Summary Table				
Project Title:	Territorial Approach to Climate Change (TACC) Project for the Mbale Region of Uganda			
UNDP AwardID:	00060230		<i>at endorsement (US\$)</i>	<i>at completion (US\$)</i>
UNDP Project ID:	00075753	UNDP	300,000	348,176
Country:	Uganda	DANIDA	250,000	450,000
Region:	Africa	DFID	450,000	472,774
Focal Area:	Environment & Climate Change	Total co-financing :	1,000,000.00	1,370,950.00
Operational Programme:	Environment and Energy	Govt of Uganda in Kind :	-	4,321.65
Executing Agency:	Mbale District Local Government	UNDP/GEF/SGP:	100,000	100,000
Other Partners involved:	MWE, District Government of Manafwa & Bududa, DANIDA, DFID, Walsh Assembly Government	Grad total including kind:	1,100,000.00	1,475,271.65
		ProDoc Signature (date project began):		13 August 2010
		(Operational) Closing Date:	Proposed: 30 June 2012	Actual: 31 December 2013

Project Description

World environment, society, economy and development are highly threatened by the climate change. Different parts of the world have already started experiencing impacts and are affected. Climate models forecast that East Africa is likely to experience a 5–20% increase in rainfall from December to February and 5–10% decrease in rainfall from June to August by 2050 (IPCC, 2007)¹. These climate change trends are also projected to cause more frequent and intense El Niño-Southern Oscillation (ENSO) events, leading to widespread drought in some areas and extensive flooding in others. Consequently, such events will have negative impacts on the availability of water resources, food and agricultural security, human health and biodiversity. Uganda is highly vulnerable to the impacts of climate change. Already, the Mt. Elgon Region of Uganda, where the Project Districts of Mbale, Manafwa and Bududa are located is seen as one of the most vulnerable areas to climate change in Uganda including the tragic landslide that occurred in Bududa and Manafwa Districts in March 2010.

The project was designed to assist the Mbale region of Uganda, encompassing the three districts of Mbale, Manafwa and Bududa, to realize low carbon and climate change resilient development. Towards

¹IPCC, 2007. Climate Change 2007: Synthesis Report. Contribution of Working Groups I, II and III to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change, IPCC.

this objective, the project was developed to assist the Mbale region to develop their Integrated Territorial Climate Plan (ITCP) to fully integrate climate change adaptation and mitigation strategies into their regional development planning, policy development and investment planning that will identify appropriate regulatory and financial instruments for the implementation of the actions that have been selected by the ITCP and assist the region to access, combine and sequence a variety of financial resources needed to implement the ITCP. Mbale will serve as a pilot region for scaling up to other regions within Uganda for this holistic territorial approach for addressing climate change.

Outputs envisaged include:

- Partnership, coordination and participation platforms for climate change planning and programming established
- Capacity built to integrate climate change issues into regional development plans and actions
- Integrated Territorial Climate Plan (ITCP) for the Mbale region formulated
- Climate change policy and investment package developed, i.e. a portfolio of CC adaptation and mitigation policy and investment projects to be implemented by combining and sequencing different financial opportunities, and
- Lessons learned and best practices produced and disseminated within and beyond Uganda

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

Note:Justification of rating is given in each of the relevant section and also summarised in Annex X.

Key Successes

The project contributed to the development of Integrated Territorial Climate Plan for mainstreaming climate change mitigation and adaptation in development plans. It has also established coordinating institutional mechanism called Regional Climate Change Forum that brings three districts (Mbale, Bududa & Manufwa) together to work jointly for addressing climate change issues of the entire Mbale region. Project has contributed to develop climate profile and also established knowledge management system which helps planner to develop strategy for addressing climate change in the country. Project helped to generate awareness from farmers' level to policy makers' level that helps future implementation of climate change programs and also take initiatives from all level to develop resilience to climate change impacts. The activities successfully implemented as part of small grant programs like livestock support, agro-forestry including species like coffee and fruits and bee keeping helped to improve household economy.

Similarly, programs like bio-briquette, improved stove, bio-gas etc. helped to decrease pressure on the forest and also decreased carbon emission to the atmosphere. Likewise, carbon financing scheme not only provided additional financial support but also encouraged to plant trees and protect them. Plantation on steep lands helped to decrease landslide risks and soil erosion and increase in the number of trees improved carbon sequestration accelerating absorption of carbon from the atmosphere. These activities in overall increased resilience capacity of the community, decreased pressure on forests, contributed in stabilizing land from erosion and increased greenery that increased carbon sequestration. The increased awareness and economic support also helped farmers to send their children to school and improved their health.

Enhance capacity of policy makers and planners will help to mainstream climate change in the future plans and policies and that will also support to increase resilience to climate change.

Key Problem Areas

Uganda has already started experiencing climate change impacts. Climate Change related profile developed by the project also projected increase in temperature by 2°C and an increase in rainfall (except in the rain shadow of Mt Elgon) in the Mbale region in the next 30 years. In Mbale region 77% of the population are farmers and are highly dependent on natural resources for every day's survivability and are vulnerable to climate change risks. The International Climate Risk Report also identified Uganda as one of the least prepared and most vulnerable countries in the world (CIGI 2007)². Uganda has recently developed a National Climate Change Policy (NCCP) to adjust to and cope with the impacts of climate change (adaptation) and also the causes (mitigation). The NCCP also aims to establish an appropriate institutional framework to coordinate coping strategies and actions. But the regular budget of the country has neither allocated any amount to address problems related to climate change nor has adequate technical assistance and institutional arrangements to address these problems for raising resilience.

As per the existing provisions of the National Environment Act, each of the Districts has to prepare District Environment Action Plans (DEAPs) and integrate them in District Development Plans (DDPs). Since TACC project's approach is to support local decision-makers and planners in designing integrated climate change (adaptation and mitigation) policies and strategies, and formulating concrete actions and investment plans that promote long-term sustainability and poverty reduction in the context of local and regional development, capacity enhancement activities of this project will help them to accomplish their tasks. The NCCP represents the overall policy framework for climate change adaptation and mitigation. The TACC Project helped to generate information through piloting approaches to low-carbon and climate change-resilient local development on-the-ground and this will provide feedback to a national climate change coping strategy.

Key Issues

The TACC project was designed to address four key issues:

- After development of NDP for 2010/11 -2014/15 it was expected to change the on-going sectorial practice of development planning but still sectorial development policies in Uganda doesn't include climate change as cross cutting issues and this pose challenges for coherent cross-sectorial climate change policy planning at national or sub-national levels;
- Both at the national and regional level, institutional capacity and governance structures in development context are not well developed for inter-sectorial coordination for addressing climate change challenges;
- Data on climate are very weak and knowledge management is lacking. In such situation, it could not support climate change policy planning;
- Present institutional capacity is weak in identifying appropriate mitigation/adaptation measures, developing CDM projects and accessing carbon financing.

²CIGI (2007), International risk report, The Center for International Governance

Conclusion

Uganda has been experiencing climate change impacts and in Mbale region 77% of the population are farmers that are highly dependent on natural resources for every day's survivability and are vulnerable to climate change risks. To respond this, Uganda recently developed a National Climate Change Policy (NCCP) but for successful implementation of the policy and to make development activities climate friendly and sustainable, mainstreaming of climate change in development planning and policy formulation is needed. Weak knowledge and capacity among policy maker and development planner was barrier in this process. This project was developed in line of NCCP and also relevant to Uganda's environment and sustainable development objectives (articulated in NDP 2011-2015). The project is also in agreement with the Uganda's commitment to UNFCCC and other International agreements related to environment and conservation.

Project was able to complete all its activities with very encouraging results. Small grant program has showed very effective impact in the livelihood and also encouraged them in environment protection. Such impacts will be sustainable because it helped farmers to understand the value of the trees and the ways it help to address climate change problem. The financial benefits linked to tree plantation besides helping in health improvement, child education, overall livelihood issues also made people aware on linkage of plants with economic development and environment protection. This awareness is important because it will have long term impact and contribute in sustainable adaptation and mitigation. Similarly, increased awareness among the policy makers and planners is also very important achievement of this project which will also have long term impact in combating climate change problems by mainstreaming it through incorporating climate change in development planning. Increased tree plantation will increase carbon sequestration and alternative energy programs will help to reduce emission to the air. TET recommends expanding these successful activities in all other villages of these districts and also in other districts of the country.

Project has established a Regional Climate Change Forum (RCCF) to discuss climate change issues at the regional level and also provided opportunity to the project districts to share knowledge, improve cooperation and coordination, discuss issues and make joint effort to address causes of climate change. Project also developed ITCP which is first such plan at the district level. Effort is needed to provide legal base for RCCF to make it a permanent structure. Also coordination and financing of RCCF and ICTP need to be arranged.

Though project was successful in achieving its target, there were few practical problems which need to be considered in the future project implementation. The field monitoring by PMU and DLG was weak in this project. Project expected to get more time from the DLG technical staffs which didn't happened and the only technical officer of the project had to bear the responsibility of the Project Manager and due to this she could not allocate time for field monitoring. The project could have benefitted much if it had established formal link with on-going ENR sector programmes and other relevant ministries like Ministry of Agriculture Animal Industries and Fisheries (MAAIF).

Recommendation

- Training at the local level on climate change adaptation and mitigation, economic opportunities linked to these activities and carbon schemes need to be continued in the expected phase II and also in ITCP in the villages of these districts that were not covered in the first phase.
- NAADS and District Extension Services are regular activities from the government side in the field to support farmers. It is recommended that future projects should built linkage with NAADS strengthening extension, provide technical assistance and improve monitoring mechanism. Also integrate CC adaptation issues in NAADS services so that it becomes a contract obligation of the service providers to integrate CC in the services to offer. Such linkage also ensures complementarities and synergies between different project and TACC programs and help to disseminate project lessons.

- This project only identified poor and women as target group. It is recommended that in the future projects should identify all vulnerable communities (including women, poor, youth, the elderly, widow/widower and HIV+ persons) in the future project design as the target group because they are also vulnerable to CC.
- Future projects or implementation of ITCP need to strengthen technical and management aspects of small grant program. To make forestry program more effective, field study needed to be conducted to identify appropriate program, appropriate species for plantation and land available for the plantation so that appropriate species will be identified and make sure too many seedlings will not be distributed to avoid wastage of seedlings. Similarly, study should also identify appropriate program for the target group. Also while designing second phase consideration should be made to include Lessons learned from watershed management project in Uganda because they are relevant and useful. Similarly, trainings on the forestry should be field based so that it will more practical and easy to learn for the farmers. For the above mentioned studies (research) and data collection, Universities could be involved to generate information cost effectively and also support university's effort to educate students in climate change and research methods.
- Studies indicated that use of improved stove (Lorena stove) could save 80% of fuel wood compared to traditional three stone open fire stove. But explaining rural community with information on quantity of firewood saving will not be effective but if explained in monetary value by converting saved quantity of firewood to money will be more effective to make them aware. Such information will be more effective to convince rural communities on advantages of improved stoves rather than just saying the difference of wood use.
- Monitoring and feedback mechanism is very important for strengthening project implementation. Hence, in future projects including ITCP, make a detail monitoring program for all levels of implementing and executing agencies with reporting mechanism, method and schedule.
- If the central government will not allocate budget for the ITCP activities, then it could not be implemented. Hence, UNDP with the help of the MWE and MoLG should lobby to make central government recognize importance of Climate Change Action Plan so that they will allocate budget for such activities and also direct the District government in the same line. Similarly, UNDP should also help to gather District governments in one place to make a common agenda for submission to central government requesting budget for implementing ITCP. Some of the activities of ITCP could also be implemented in large scale by involving private sector. For that, dialogue should be initiated with them to make them aware of opportunities in forestry, agro-forestry, improved stoves, alternative energy and other income generation activities. Such interaction will also help to identify policy barriers that have been obstructing private sector involvement in the promotion of such activities. As implementation of ITCP requires a lot of money, UNDP together with government representation need to initiate communication with different development partners for outsourcing funding. DANIDA has also mentioned that their future support will be in mainstreaming climate change. Similarly, DFID expressed their interest in capacity enhancement of local government. UNDP should coordinate with these development partners for supporting mainstreaming climate change and capacity enhancement of District Local Government.
- This project has been successfully piloted in three districts of Mbale region. But to achieve goal of decreasing climate change effects and improving resilience, it needs to be expanded to wider level i.e. national level. Hence, the lessons learned from this project should be utilized to implement such activities in other districts also so that it could be expanded at the national level. UNDP should help CCU to develop strategies that help to disseminate the TACC lessons at national level and to other districts. This will help to influence district government's development activities and replicate successful activities of this project in other districts.
- The National Development Plan of Uganda will end this year so by the end of this year government will come up with new Development Plan. UNDP has been facilitating National Development Plan preparation process for the government of Uganda and should lobby for influencing planning with lessons from TACC project for mainstreaming climate change in development activities. Moreover, TACC success is widely appreciated and MWE and MLoG from their association with this project have witnessed these from very close, they should also make effort in mainstreaming climate change.

- This project has generated information on the climate status and trends in the region. Knowledge management system developed by this project need to be managed with updated information so that large audiences including planners, researchers and development workers will be benefited. Relevant government department have to take responsibility to manage Knowledge management system. To arrange information feeding mechanism to the Knowledge base, MWE should coordinate with the Universities to include relevant research in the universities' regular research plan and use information from them to update knowledge base.
- TACC has established structures (forum) like ITCP Steering Committee and RCCF but they don't have any legal ground. To make it sustainable it has to be a legally backed permanent structure. There are policy gaps for establishing such structures in existing climate policies and development of bylaws and ordinances to support such structure will require much time. Alternative immediate solution is legalizing under the Local Government Act (Cap. 243; Part II Section 8: in accordance with article 178 of the Constitution), which states that districts may cooperate in the areas of culture and development and establish a council or secretariat to manage joint interests.

Lessons Learned

- Designing a project linking various institutions from grassroots level institutions, government agencies, local authorities and private sector generates huge benefits for sustainability, and through the synergies developed provides the intervention with much greater effectiveness than that which can be achieved by stand-alone projects.
- Community involvement is vital for sustainable community-based natural resource management projects as they are the ones who have to manage these resources beyond the project life. Similarly, involving local trainers is effective to make community understand technical things in easy manner and using them is also cost effective.
- Communities or even CBOs lack knowledge on impact of climate change and potential economic benefits linked to conservation of trees. Hence generating awareness on these will help to provide economic incentives to communities and there by generate their cooperation for conservation of trees and environment which will help to address climate change issues of the global concern.
- Direct economic benefits to local communities make excellent incentives to achieve conservation goal that contributes in addressing vulnerability to climate change and reduce emission and increase carbon sequestration.
- Use of local resources helps to make activities sustainable. The alternative energy programs were using local raw materials in construction of bio digester, briquette making and in improved stove. These programs never faced shortage of raw materials because they were self-reliant in raw materials.
- Implementing project through NGO and CBOs helped to work closely with the communities and also through them it was easy to raise awareness among communities. This resulted in successful implementation of project activities with encouraging results. But selection of such organisation has to be done carefully as the success of the project depends largely on them. NGO and CBOs involvement also strengthens project with their technical knowledge and experience. That also ensured technical sustainability of the project. The NGO and CBOs selected by the project were experienced hence they were able to interact with communities efficiently and able to convince them and it was also admired by the locals. Their experience and technical strength also helped in implementing project activities successfully with encouraging results.
- Transparency in management determines success and also appreciation from everyone. From hiring of the project manager to entire project management, transparency was maintained and due to that no one had acerbity against the project and was admired by everyone. With the help from every one the project was able to produce desired results. There are many examples of intervention from politician or from authority in staff recruitment, selection of NGO/CBOs and other management that affected project implementation and resulted into failure of the project to produce desired outcomes. More [Recommendations](#) and [Lessons Learned](#) are listed on pages 46-52.

1. INTRODUCTION

Purpose of the evaluation

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

Scope & Methodology

1. The Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects issued by the Evaluation Office in 2012 states that:

“Evaluations for UNDP-supported GEF-financed projects have the following complementary purposes:

- To promote accountability and transparency, and to assess and disclose the extent of project accomplishments.
- To synthesize lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities.
- To provide feedback on issues that are recurrent across the UNDP portfolio and need attention, and on improvements regarding previously identified issues.
- To contribute to the overall assessment of results in achieving GEF strategic objectives aimed at global environmental benefit.
- To gauge the extent of project convergence with other UN and UNDP priorities, including harmonization with other UN Development Assistance Framework (UNDAF) and UNDP Country Programme Action Plan (CPAP) outcomes and outputs.”

With this in mind, this Terminal Evaluation (TE), carried out by an independent consultant, was initiated by UNDP Uganda as the GEF Implementation Agency for the “Territorial Approach to Climate Change (TACC) project for the Mbale region of Uganda” Project to measure the effectiveness and efficiency of Project activities in relation to the stated objectives, and to collate lessons learned.

1. The TE was conducted over a period of 25days between 1st December and 31stFebruary 2014 by an international and a national consultant. The approach was determined by the terms of reference (Annex I) which were closely followed, via the itinerary detailed in Annex II. Full details of the objectives of the TE can be found in the TOR, but the evaluation has concentrated on assessing the concept and design of the Project; its implementation in terms of quality and timeliness of inputs, financial planning, and monitoring and evaluation; the efficiency and effectiveness of activities carried out and the objectives and outcomes achieved, as well as the likely sustainability of its results, and the involvement of stakeholders. TACC project evaluation validation workshop was conducted on 28th January 2014. The draft report was revised after receipt of comments and finalised on 15thFebruary 2014. The text has been revised to correct factual inaccuracies in the draft or to include additional information, while other comments have been reproduced in full and unedited in the appendix to ensure a fair hearing to all parties. The Terminal Evaluation Team (TET) has made responses to these comments (Appendix XIX).

2. The evaluation was conducted through the following participatory approach to provide it with sufficient evidence upon which to base conclusions:
 - extensive face-to-face and Skype/telephone interviews with some Project Board members, ITCP Committee members, the project management and technical support staff. Throughout the evaluation, particular attention was paid to explaining carefully the importance of listening to stakeholders' views and in reassuring staff and stakeholders that the purpose of the evaluation was not to judge performance in order to apportion credit or blame but to measure the relative success of implementation and to determine lessons learned for the wider GEF context. Wherever possible, information collected was cross-checked between various sources to ascertain its veracity, but in some cases time limited this. A full list of people interviewed is given in [Annex III](#).
 - face-to-face interviews with local stakeholders, beneficiaries of grant programs, local organisations;
 - face-to-face interviews with Local government authorities and project manager;
 - a thorough review of project documents and other relevant texts, including the Project Document, revised log-frame, and monitoring reports, such as progress and financial reports prepared for UNDP and annual Project Implementation Reviews (PIR) for GEF, minutes of Project Board meetings, technical reports and other activity reports, relevant correspondence, and other project-related material produced by the project staff or partners; and
 - field visits to the project areas.
3. Wherever possible the TE Consultants have tried to evaluate issues according to the criteria listed in the *UNDP-GEF Monitoring and Evaluation Policy*, namely:
 - Relevance – the extent to which the activity is suited to local and national development priorities and organisational policies, including changes over time, as well as the extent to which the project is in line with the GEF Operational Programmes or the strategic priorities under which the project was funded.
 - 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.
 - Results – the positive and negative, and foreseen and unforeseen, changes to and effects produced by a development intervention. In GEF terms, results include direct project outputs, short-to medium term outcomes, and longer-term impact including global environmental benefits, replication effects and other, local effects.
 - Sustainability – the likely ability of an intervention to continue to deliver benefits for an extended period of time after completion. Projects need to be environmentally as well as financially and socially sustainable.
4. The original logframe in the Project Document was revised significantly during the inception period and agreed in midterm report dated 11 April 2012. This new logframe, comprising one Component (Outcome 2 & 2.1) and five Outputs, and 19 indicators, has been used throughout as the basis for this evaluation (see [Annex VI](#)), and the TE has evaluated the Project's performance against these according to the current evaluation criteria provided to it by the UNDP/GEF. This is reproduced in Table 1 for clarity.

TABLE 1: CRITERIA USED TO EVALUATE THE PROJECT BY THE FINAL EVALUATION TEAM

Highly Satisfactory (HS)	Project is expected to achieve or exceed all its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice”.
Satisfactory (S)	Project is expected to achieve most of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings.
Marginally Satisfactory (MS)	Project is expected to achieve most of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve some of its major global environmental objectives or yield some of the expected global environment benefits.
Marginally Unsatisfactory (MU)	Project is expected to achieve some of its major global environmental objectives with major shortcomings or is expected to achieve only some of its major global environmental objectives.
Unsatisfactory (U)	Project is expected not to achieve most of its major global environment objectives or to yield any satisfactory global environmental benefits.
Highly Unsatisfactory (U)	The project has failed to achieve, and is not expected to achieve, any of its major global environment objectives with no worthwhile benefits.

5. In addition, other scales have been used to cover sustainability (Table 2), monitoring and evaluation, and to assess impacts. The Review of Outcomes to Impacts (ROtI) method also requires ratings to be made for outcomes achieved by the project and the progress made towards the ‘intermediate states’ at the time of the evaluation. The rating scale is given in Table 3 while Table 4 shows how the two letter ratings for “achievement of outcomes” and “progress towards intermediate states” translate into ratings for the “overall likelihood of impact achievement” on a six-point scale. A rating is given a ‘+’ notation if there is evidence of impacts accruing within the life of the project which moves the double letter rating up one space in the six-point scale.

TABLE 2: SCALE USED TO EVALUATE THE SUSTAINABILITY OF THE PROJECT

Likely (L)	There are no risks affecting this dimension of sustainability.
Moderately Likely (ML)	There are moderate risks that affect this dimension of sustainability.
Moderately Unlikely (MU)	There are significant risks that affect this dimension of sustainability.
Unlikely (U)	There are severe risks that affect this dimension of sustainability.

TABLE 3: RATING SCALE FOR OUTCOMES AND PROGRESS TOWARDS “INTERMEDIATE STATES”

Outcome Rating	Rating on progress toward Intermediate States
D: The project’s intended outcomes were not delivered	D: No measures taken to move towards intermediate states.
C: The project’s intended outcomes were delivered, but were not designed to feed into a continuing process after project funding	C: The measures designed to move towards intermediate states have started, but have not produced results.
B: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding	B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact.
A: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding.	A: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long term impact.

NOTE: If the outcome above scored C or D, there is no need to continue forward to score intermediate stages given that achievement of such is then not possible.

TABLE 4: RATING SCALE FOR THE “OVERALL LIKELIHOOD OF IMPACT ACHIEVEMENT”.

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA AB BA BB+	BB AC+ BC+	AC BC	AD+ BD+	AD BD C	D

6. The results of the evaluation were conveyed to UNDP CO and other stakeholders. **Lessons learned** have been explained in page 46-48.

Constraints

7. Due to time constraint, the evaluation could not go much detail analysis of financial performance of the project.

Structure of the evaluation report

8. Report has executive summary at the beginning of the report to give brief overview of the project, key successes, key issues, key problems that project addressed, lessons learned and major recommendations. Then the reports first chapter starts with introduction on purpose of the evaluation, scope and methodology of evaluation and the constraints that evaluation mission faced.

9. The second chapter of the report contains Project description and Development context including information on project start and duration, problems that project sought to address, immediate and development objective of the project, baseline indicators established, main stakeholders and expected results.

10. The third chapter of the report includes findings of the evaluation and is divided into three sub-chapters. The first sub-chapter includes information on project design/formulation, analysis of logical framework, UNDP programming context and management arrangements. Similarly, second sub-chapter includes information on project implementation aspect with information on adaptive management practices, technical management, partnership arrangements, stakeholders participation, gender mainstreaming, implementation approaches UNDP supervision and backstopping, financial assessment, cost-effectiveness, design and implementation of monitoring and evaluation practices. The third sub-section includes project results including attainment objectives, overall result summary, objective indicators, effectiveness, review of outcomes to impacts, impact of project activities, achievements of project outputs. This chapter also discuss strategic issues, relevance, sustainability (financial, institutional, socio-economic and environmental), catalytic role and replication and country ownership.

11. The fourth chapter of this report contains conclusion of findings, lessons learned and recommendations. The lessons learned are discussed from three aspects viz. strategic, design and management. The fifth chapter contains annexes.

2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT

2.1 Project Start and duration

12. As part of the UNDP-UNEP Global Initiatives “Down to Earth: Territorial Approach to Climate Change” the TACC project for the Mbale region (Mbale, Manafwa & Bududa Districts) of Uganda is a pilot project. This was designed as a two years project in 2009 and was expected to be implemented from July 2010 to June 2012. But implementation was delayed until January 2011 and from this date with recruitment of the Project Manager Project implementation was initiated. In October 2011, the International Technical Advisor was recruited while the Finance and Administrative Assistant was only recruited in July 2012. Unlike 4-months of project inception period provisioned in the Project Document, it was reduced and an Inception Workshop was held in March 2011. The first Board Meeting was held in March 2011 which approved the inception report and revised RRF. Second Project Board meeting was held in June 2011 which approved the establishment of the main implementing structure like the Integrated Territorial Climate Plan (ITCP), Steering Committee and the Regional Climate Change Forum (RCCF).

13. Since project implementation was delayed, a one year no-cost extension was requested by the Project Board in March 2012 i.e. extension with deadline of June 2013. In September 2012 Project Board requested further extension up to December 2013 to complete activities related to carbon financing (output 4). The duration of the project has thus been extended from 2 to 3.5 years.

Key timelines planned or expected for project implementation.

Key project's milestones	Date
Project Designed	2009
Project Document Signature date	August 2010
Initial Project starting date	July 2010
Initial Project Closing date	June 2012
Project activities launched	January 2011
Inception workshop	March 2011
Original Planned (amended) Closing Date	June 2012
Actual Closing Date	December 2013
Mid-term review	26 Nov 2012
Terminal Evaluation	December 2013

2.2 Problems that the project sought to address

14. Uganda has already started experiencing climate change impacts. Climate Change related profile developed by the project also projected increase in temperature by 2°C and an increase in rainfall (except in the rain shadow of Mt Elgon) in the Mbale region in the next 30 years. In Mbale region 77% of the population are farmers and are highly dependent on natural resources for every day's survivability and are vulnerable to climate change risks. The International Climate Risk Report also identified Uganda as one of the least prepared and most vulnerable countries in the world (CIGI 2007)³. Uganda has recently developed a National Climate Change Policy (NCCP) to adjust to and cope with the impacts of climate change (adaptation) and also the causes (mitigation). The NCCP also aims to establish an appropriate institutional framework to coordinate coping strategies and actions. But the regular budget of the country has neither allocated any amount to address problems related to climate change nor has adequate technical assistance and institutional arrangements to address these problems by raising resilience.

³CIGI (2007), International risk report, The Center for International Governance

15. As per the existing provisions of the National Environment Act, each of the Districts has to prepare District Environment Action Plans (DEAPs) and integrate them in District Development Plans (DDPs). Since TACC project's approach is to support local decision-makers and planners in designing integrated climate change (adaptation and mitigation) policies and strategies, and formulating concrete actions and investment plans that promote long-term sustainability and poverty reduction in the context of local and regional development, capacity enhancement activities of this project will help them to accomplish these tasks. The NCCP represents the overall policy framework for climate change adaptation and mitigation. The TACC Project helped to generate information through piloting approaches to low-carbon and climate change-resilient local development on-the-ground and this will provide feedback to a national climate change coping strategy.

16. To address challenges of climate change huge amount of money is needed and the developing countries and under developed countries could not afford that from their regular budget. There are provisions of support under UNFCCC framework but materialising promises for support became like a day dream. In such situation, UNDP supported TACC project which is also financed by partner organisations like DANIDA and DFID helped government of Uganda to pilot mitigation and adaptation actions to address climate change problems.

The TACC project was thus designed to address four key issues:

- After development of NDP for 2010/11 -2014/15 it was expected to change the on-going sectorial practice of development planning but still sectorial development policies in Uganda doesn't include climate change as cross cutting issues and this pose challenges for coherent cross-sectorial climate change policy planning at national or sub-national levels;
- Both at the national and regional level, institutional capacity and governance structures in development context are not well developed for inter sectoral coordination for addressing climate change challenges;
- Data on climate are very weak and knowledge management is lacking. In such situation, it could not support climate change policy planning;
- Present institutional capacity is weak in identifying appropriate mitigation/adaptation measures, developing CDM projects and accessing carbon financing.

2.3 Immediate and development objectives of the project

17. TACC project is built in line with the United Nations Development Assistance Framework (UNDAF), hence it contributes to UNDAF objectives.

Its main Objective is: "To support low-carbon and climate change-resilient local development in Uganda". The project aims to achieve this objective by achieving following outcomes:

Outcome 2: Vulnerable segments of the population in Uganda have sustainable livelihoods and employment including improved agricultural systems, to manage the population dynamics, economic disparities, environment shocks and recovery.

Outcome 2.2: Vulnerable communities, government, civil society and the private sector are sustainably managing and utilizing the environment and natural resources for improved livelihoods and to cope with the impact of climate change.

18. The project falls under UNDP Country programme and Action Plan (CPAP) that aims to strengthen national capacities for sustainable environment and natural resources management as well as climate change adaptation and mitigation and disaster risk management. The project is in line with UNDP's climate change strategy to support the design of integrated climate change (adaptation and mitigation) policies, strategies and quantified action plans that promote long-term sustainability and poverty reduction.

The project aims to achieve above mentioned objectives and outcomes by addressing existing barriers through the following five outputs:

Output 1: Partnership, coordination and participation platform for climate change planning and programming established through establishment of the ITCP Steering Committee, Mbale Region Climate Change Forum (RCCF), working groups and a work plan.

Output 2: Capacity to integrate climate change issues into regional development plans and actions built through establishment of the climate change small grants scheme and disbursement of small grants to qualified applicants assuring quality of the awarded activities, assessment of capacity needs toward slow carbon and climate change resilient development, development of capacity development plan to incorporate into the ITCP, policy and investment package, development and implementation of training and awareness programs for decision makers and general public on Climate change risks and opportunities and evaluation of training activities to improve the quality of training.

Output 3: Integrated Territorial Climate Plan (ITCP) formulated through several activities including development of the Climate Profile of the region, analysis of Climate Change mitigations and adaptation options, development of the Climate change action Plan, formulation of the integrated Territorial Plan based on the above mentioned activities and endorsement of the ITCP.

Output 4: Climate change policy and investment package developed through conducting prefeasibility studies for priority project ideas, development of a list of climate change project ideas, including the identification of project –level emissions mitigation and/ or sequestration activities, identification of options for the introduction of legal and financial instruments to address climate change, identification of potential sources of funding for the project, preparation of project proposals and submission to donors, carbon financiers and other relevant parties and undertaking project concept marketing and partnership building.

Output 5: Lessons learned and best practices disseminated through development of acknowledge management system to capture lessons learned and to promote project results and replications, establishment of project website and web-based discussions and dissemination of information and lessons learned and production of knowledge products to targeted audience in appropriate languages and according to the communication strategy.

Phase 1 aims to pilot adaptation and mitigation plan to combat the negative impacts of climate change in three districts (Mbale, Manafwa and Bududa) of the Mbale region of Uganda and also build the institutional framework, capacity and knowledge at the regional (sub-national) level for effective mainstreaming of low-carbon and climate resilient development. For facilitate this, ITCP is developed which provide approaches for integrating climate change adaptation and mitigation strategies into regional development planning.

2.4 Baseline Indicators Established

19. Inception period report merged three indeterminate indicators of the Project document to two to make is appropriate and logical. Similarly, baselines under output two were updated in the inception report to incorporate the on-going activities of WAG (with funds from Waterloo Foundation) which were envisaged as a part of project co-financing in the project document. Inception report also added two missing baselines in the project document.

20. The indicators and baselines of the inception report were further revised in the mid-term review report. Changes were made to the targets of the baseline to update the timelines. Targets under output 2 that were left indeterminate at inception but updated later are given with the numerical target. MTR revised several targets of the project reports.

2.5 Main Stakeholders

21. Project is implemented by the National Implementation Modality (NIM) and the District Local Government (DLG) of Mbale on behalf of Mbale, Manafwa and Bududa DLGs was the implementing agency. The project was executed by the UNDP CO in close consultation with Ministry of Water and Environment (MWE). Key stakeholders of the project were DANIDA, DFID, Eco-Carbon Trust, CBOs, the district political leaders and technical staff, sub-county level leaders and technical staff. Similarly, Buginyanya Zonal Agriculture Research Institute, Mbale Coalition Against Poverty (MCAP), Wales government, NGO forum, National Forestry Authority, Uganda Wildlife Authority were also stakeholders of this project.

2.6 Expected Results

22. Project expected to strengthen the capacity of the District Local Government with enhanced knowledge on climate change and opportunity for adaptation and mitigation and through that mainstream climate change in development planning. It also aimed to address economic and environmental issues and increase awareness among the rural communities and thereby increase their resilience capacity to reduce vulnerability. It also expected to establish an institution (RCCF) to discuss climate change issues at the regional level to share knowledge and improve cooperation. UNDP was aware that more than 70% disasters are some way related to climate change, hence UNPD combined its efforts in disaster risk reduction and climate risk reduction as both complement each other.

23. It was also expected that the Government of Uganda will utilise the achievements of the TACC piloting in Mbale region in mainstreaming approaches within development planning throughout the country. Moreover, wide dissemination of the lessons learned and replication of best practices both in other regions of Uganda and globally (as a key contribution to the UNDP-UNEP Global TACC Initiative) will be made for the benefit of global community.

TABLE 5: SUMMARY OF EXPECTED GLOBAL ENVIRONMENTAL BENEFITS ARISING FROM THE PROJECT

<p>Outcome 2: Vulnerable segments of the population in Uganda have sustainable livelihoods and employment including improved agricultural systems, to manage the population dynamics, economic disparities, environment shocks and recovery.</p> <p>Outcome 2.2: Vulnerable communities, government, civil society and the private sector are sustainably managing and utilizing the environment and natural resources for improved livelihoods and to cope with the impact of climate change.</p> <p>Outcome (CPAP): i) Selected national & local government institutions & communities capacitated to develop key policies & system for sustain for sustainable ENRM & CC adaptation & Mitigation, ii) Selected local government institution & communities capacitated to mainstream & pilot sustainable ENRM, CC adaptation & mitigation interventions.</p>	<ul style="list-style-type: none"> • Climate change is a subject of global concern. Deforestation leading to increased emission and decrease in sequestration will affect global climate. Hence, sustainable arrangements and mainstreaming of climate change in development planning and implementation assures long term environmental and economic benefits. Such arrangement will help to address problem of climate change for betterment of global environment. • Increased knowledge and awareness from rural communities' level to policy makers/planner's level help to address climate change from all level. • The experience will also be beneficial to other regions of Uganda and other countries in the Eastern and Southern African region. • Knowledge management and dissemination in wide audience will help initiatives to address climate change issues in different places contributing to the global initiatives to address climate change issues. • Regional level integration of climate change issues into regional development plans and actions will helps to address this problem of global concern in a wide scale. • Formulation of ITCP and actions helps to address climate change issue in integrated manner addressing various cross cutting issues.
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24. Baseline indicators were fully established and the latter given in the Project Document ahead of the Project's commencement.

3. FINDINGS

3.1.1 Project Design/formulation

25. The project was designed to address climate change issues of Uganda and had included all components required to implement adaptation and mitigation and to enhance capacity for mainstreaming climate change in development planning. Since its design was based on the root cause analysis of the climate change, it had addressed various sectorial cross-cutting issues that affect local environment and CC. This project was designed to achieve CPAP outcome of strengthening capacity of selected institutions for sustainable environment and natural resources management (ENRM) and CC adaptation and mitigation. Similarly, it contributes to achieve outputs of CPAP of capacitating selected national and local government institutions and communities to develop key policies and systems for sustainable ENRM and CC adaptation and mitigation and mainstream and pilot sustainable ENRM and CC adaptation and mitigation interventions. Project was linked with the UNDAF outcome 2 that focuses on sustainable ENR management for improved livelihoods of vulnerable segment of the population of Uganda and coping strategies for CC.

26. As per the strategy of the project, the first phase had piloted adaptation and mitigation activities, established supporting institutions like RFCC and ITCP and enhanced capacity to mainstream climate change in development planning. Similarly, the second phase will implement the planning and investments outcomes of the first phase. Project document had not clarified the project strategy of second phase and due to this confusion has been generated as to whether it is only one project or has another follow up segment also.

27. The design of the RRF was very clear with clear outputs milestones, activities for each outputs and SMART indicators to monitor implementation and achievements. Project was designed to address problem from both local level as well as central government level. At local level it provisioned working with CBOs and NGOs to implement adaptation, mitigation and awareness generation activities while at the central government level it worked with policy makers and planner to mainstream climate change in development planning by enhancing their capacity. Funding for all activities was not assured at the project development and project had budget shortfall but additional funding was arranged at the project implementation phase.

28. The donor like DANIDA and DFID joined project after the project design hence they had no chance to contribute in design but their joining helped project to meet the budget shortfall. They had chosen from the existing component that fits in their expertise and relevant to their activities to Uganda.

29. The project had very ambitious timeframe of two years to complete all these activities of innovative nature. Since the project implementation was delayed and also time allocated was not sufficient to accomplished targeted activities, the no-cost extension of 18 months was made. The extension period made implementation more comfortable to achieve expected project impacts.

Hence to address these problems, the project was designed to apply following approaches:

- Establish ITCP steering committee.
- Establish Regional Climate Change Forum (RCCF).
- Develop communication strategy and implement.
- Appoint District Climate Change Focal Points.
- Conduct awareness raising activities (workshop) for local communities and decision makers' levels on climate change.
- Conduct capacity assessment and develop Capacity Development Action Plan and implement.
- Conduct training for decision makers and technical officers on climate change risks and opportunities and evaluate impact of training.
- Establish Climate Change Small Grants Scheme and implement to provide benefit to community based organizations (CBOs).
- Develop Climate Profile for Mbale region.

- Analyse Climate change mitigation and adaptation options and opportunities.
- Develop Climate Change action plan.
- Conduct feasibility study for at least 3 priority activities (forestry, cook stove dissemination and water harvesting) identified by stakeholders during the scoping mission.
- Develop Climate change project ideas and at least develop one potential project concept and submit to access appropriate carbon markets.
- Develop project website for information sharing.
- Develop knowledge management system.

3.1.2 Analysis of Logical Framework

30. The RRF had a single development objective and 1 outcome and 5 outputs. The extensive activities were also listed in full, complete with their own indicators. The RRF was clear with appropriately written indicators. The logical framework was revised in March 2011 and indicators were adjusted to make them more realistic. The number of outputs was 5 in the original RRF and this was not changed in revised RRF or in MTR report. There were six activity achievement indicators for output 1 in project document of which establishment of Project Management Unit was not necessary to put in RRF so was dropped in the MTR. Similarly, for output 2 there were seven achievement indicators of which indicator stating development of lessons learnt and best practices from the small grant program was dropped in MTR as this will be covered by the indicators of output 5. The activities achievement indicators of rest of the outputs remained same as in the project document. The indicators of the logframe were all SMART and were relevant and precise. All were based on sound scientific monitoring protocols using the most relevant measures for a given criteria.

3.1.3 Assumptions and Risks

31. The assumptions and risks were well articulated in the Project document. PMU had regularly assessed the project risks log and updated. PMU addressed several key risks like the lack of budget shortfall was resolved by bringing DANIDA funding. Similarly, the risk of problem from the changed political situation was addressed by generating awareness among the local political leaders. Risk of low participation of some key player was address by awareness generation and participation was very enthusiastic. Similarly, the risk of potential problem due to underestimated level of efforts and financial resources required for data collection and processing was addressed by identifying multiple data sources and collaborating with other institutions. Since link to upload lessons from this project to NDP was lacking and only positive verbal indications from the planners was available, there remains some risk of success of this expectation of project of mainstreaming climate change adaptation and mitigation and due to invisibility it was also difficult to track if CC mainstreaming in NDP 2010/11-2014/15.

32. Project also suspected risk of reluctance from the financial system to lend money to municipalities or entrepreneurs to finance climate change related Project hampering with the leverage effect of the investment action plans leaving the implementation of the projects only at a small scale. To address this risk mitigation actions identified by the project includes awareness raising workshops, meetings with international banks and solicit governmental support in encouraging banking sector to provide new financing opportunities at the local level. But there was no change is risk situation till the end of the project.

33. There was risk of sustainability of the RCCF as it does not had any legal status yet and also coordination mechanism and financing of the forum after the end of this project was uncertain. Similarly, there was a potential risk in the implementation of the ITCP as an institutional structure cutting across districts. The Regional tier government is not popular for implementing the ITCP due to different political interests in the different districts. An agreement (MoU) similar to what Mbale CAP has for Mbale region could be used since it has been tested and found successful. It is legally possible to establish RCCF and ITCP steering committee under the Local Government Act (Cap.243; Part II Section 8: in accordance with article 178 of the Constitution), which states that districts may cooperate in the areas of culture and development and establish a council or secretariat to manage joint interests.

However, such cooperation may be constrained by funding, given that districts prefer segregation into separate district offices with each district allocating funds for implementation of activities within their district. The likelihood of districts contributing scarce funds to a regional body was therefore low. In practice, the ITCP implementation body would have to be donor funded, and risks losing impetus if donor funds are not available.

3.1.4 Lessons from other relevant projects incorporated into project design

34. TACC was developed as a pilot project and it used available planning/technical lessons available from several projects. UNDP had some lessons from previous SGP implementation which were incorporated into the project design. Similarly, UNDP CO had some experience from some interventions on climate change like disaster risk reduction project implemented by Office of Prime Minister, UNDP funded preparation of a report on “impacts of the 2006/07 El Nino in selected districts of Uganda and UNDP/GEF SGP funded interventions addressing climate change issues carried out by the NGOs such as Kifango Farmers Association in Manafwa. The project also used lessons learnt on the specific example on Kapchorwa project that applied effective ecosystems wide approach for soil and water conservation, protection of river banks, upstream and improved sanitation.

35. Project also used lessons from other donor funded project on climate change like The Royal Danish Embassy’s project to strengthen the National Climate Change Secretariat within MWE, Belgian Embassy’s program to support CDM initiatives via the climate change secretariat (CCS) in MWE, UNEP supported Katoomba Group program to develop initiatives to reduce emissions from Deforestation and Degradation (REDD), Norwegian supported forestry and energy sector, Oxfam supported study report entitled “Turning up the heat: climate change in Uganda”, “survival for the fittest: Pastoralists and Climate change in East Africa” and “Suffering the science: climate change, people and poverty”.

36. The TACC project also intended to scale up interventions of UNDP Uganda’s previous/current investments in the Mount Elgon/Mbale on climate change issues. But it failed to use experiences from the previous UNDP project implementation through Government partners and due to that there were substantial delays during start-up for harmonizing UNDP and local government implementing modalities and accounting frameworks. The implementation and accounting practices of UNDP and local government differs and TET believes that the level of harmonization reached during start-up was the best that can be expected.

3.1.5 Planned Stakeholder Participation

37. Stakeholder participation is very important as it influence implementation process and quality of the results. Wide range of stakeholders’ interaction was carried out to identify issues, activities and strategies. Stakeholder participation was very well in the project design. Similarly, strength and interest of various donors and implementing agencies was also assessed. DFID was identified at the time of project design but DANIDA joined project latter at the time of implementation. DANIDA support helped to address shortfall of fund and contributed in accomplishing output 2, 3 and 5 (capacity building, ICTP development and Knowledge management). ECOTRUST was the project implementation partner for carbon finance program and at the local level various community groups/CBOs for implementing different programs of the project. But these implementing NGO and community groups were selected based on open competition at implementation phase. District Local government was identified as the implementing partner and it conducted capacity enhancement and knowledge sharing (seminar/workshops) activities and its ICTP staffs provided technical supervision while the Steering committee provided technical backup at the central level. Capacities of the executing partner and implementing institutions were well considered.

3.1.6 Replication Approach

38. As per project document this approach was piloted in Mbale region for scaling up to other regions within Uganda. But not much on replication approach was explained in the project document. Only project outputs 5 indicate activities that help to establish and disseminate knowledge generated by the project. As per activities identified in the work-plan, project planned to document lessons learned to expand knowledge base and also produce knowledge products (poster, booklets, reports etc.). It had planned to establish webpage for information sharing and develop knowledge management system. Project aimed to disseminate knowledge generated from this project so that other regions in Uganda as well as outside country can benefit from it. It aimed to utilize networks and forums and global platforms for this purpose. It had also planned to use media such as radio, television and webpage for dissemination of knowledge. The indicated activities were completed (more in 3.3.5 Catalytic role and Replication).

3.1.7 UNDP Comparative Advantage

39. The project is directly linked to UNDAF and CPAP actions. UNDP has been working in the field of environment protection, biodiversity conservation, disaster risk reduction and sustainable use of natural resources for economic development and poverty alleviation from very long time and had generated a lot experience from these areas. This project aimed to enhance capacity of District level authorities to mainstream climate change in development planning and communities in sustainable forestry for economic development and environmental protection. UNDP's experience from these fields was advantage to the project and was helpful to achieve the objectives of the project. UNDP was also managing donor funds from DANIDA and DFID. It was also managing EBA sister project, located in the northern districts of Kapchorwa, Kwen, Bulambuli and Sironko, adjacent to the Mbale Region in the Mount Elgon ecosystem. UNDP support was adequate and quality of technical support was excellent and was provided timely. It maintained candor and realism in annual reporting. Only in the initial phase some delay in procurement took place which was resolved.

3.1.8 Linkages between Project and Other Interventions within the sector

40. There were several initiatives being implemented in Uganda with assistance from different development partners in the region for climate change mitigation and adaptation. Fuel-saving stoves have been promoted as an intervention to reduce the energy crisis and relieve pressure on the trees. Biogas digesters were under demonstration targeting farmers and afforestation programs targeting bare hills. The Farm Income Enhancement and Forestry Conservation (FIEFOC) Project was supporting tree planting and watershed management in the region in the sub-counties of Busoba, Bukigai and Butiru. The Uganda Wildlife Authority (UWA) and the National Forestry Authority were promoting tree planting and conservation activities in the protected areas under collaborative management arrangements. The National Environmental Management Authority (NEMA), with support from the World Bank, was implementing waste composting projects in a number of municipalities of which Mbale municipal council was a beneficiary to reduce carbon emissions to the atmosphere through composting. The Mt. Elgon Regional Ecosystem Conservation Programme (MERECF) is an East African Commission regional trans-boundary conservation and sustainable development programme developed in response to the need for a regional approach to the management of Mt. Elgon trans-boundary ecosystem as a catchment for Lake Victoria, the Nile and Lake Turkana. This program intent to pilot a REDD implementation. Besides these, there were several other initiatives from different donors in the field related to climate change. This project could have benefitted more if had established links to these programs. Linking with NAADS could help in extension activities and also in technical support and monitoring. NFA and EBA Were involved in RCCF but there was no even link with NFA's national tree planting programme and REDD+ initiatives, or with EBA. Project design expected close coordination with Welsh funding, particularly activities funded by Waterloo initiative, but the Waterloo one million trees programme seems unconnected with the project". Similarly, linking this project with NAPA could have helped to complement each other as both have similar activities.

41. Small grants for the project provided through UNDPs SGP framework were linked with previous SGP initiatives. The lessons from the two groups that had received previous funds through the SGP (KIFANGO Farmers NGO and ShunyaYetana CBO) were used to build the activities under TACC and scaling up of some previous interventions were made.

3.1.9 Management Arrangement

42. The project was implemented following UNDP National Implementation Modality (NIM). Project had Project Board headed by the permanent secretary from the Ministry of Water and Environment and other member were donor representatives, Mbale District chief administration officer (CAO), Chairman of Manafwa district, Coordinator Mbale Coalition against poverty (MCAP), Welsh Assembly Government and Permanent Secretary of Ministry of Local Government (MoLG) as co-chair. Project also had a steering committee Chaired by the CAO of Manafwa and members from District Production Office Mbale, project focal person from three project districts, Uganda Wildlife Authority, Buginyanyazonal agriculture research Institute, Mbale coalition against Poverty (CAP), Wales Government, Chairperson of NGO Forum, UNDP representative and Climate Change Unit of Ministry of Water and Environment. Project also formed a Regional Climate Change Forum to discuss climate change issues at the regional level and share knowledge and enhance cooperation and coordination. PM was the secretary to PB, PSC and also RCCF.

43. The project was run by a small team comprising a project manager hired by the UNDP CO, Finance/admin officer, a driver and a part time International technical advisor. Besides PM, other project staffs were hired only towards the end of 2012. Project was designed to engage local experts and support the building of capabilities in DLGs through the District Focal Persons, who were expected to take a major role in providing technical support to the project. Lack of additional permanent technical person in PMU had affected monitoring of project activities and also technical feed back to the communities.

44. Project was designed to engage DLG, NGOs and CBOs in implementation and supporting capacity building of these institutions as per capacity assessment report recommendations. Work plans and budgets were developed jointly by the key stakeholders as per the design and mainly implementation was driven by the PMU.

45. District Local Government of Mbale had conceded implementation responsibilities of programs other than capacity enhancement trainings to their office and conducting board meetings and steering committee meeting to the PMU. But authority of approval of the reports, accounts and reporting to UNDP was retained with them. There was provision of approving annual budgets and work plans by the Project Board. The Implementing Partner also presents the project annual budget in the November budget conference of the district, and subsequently forwards the budget to the District Council for review. To avoid delay in implementation due to delay of District Council meeting for long time (one year), there was provision of approving annual work plan by the CAO.

46. Though involvement of CCU was not distinct in the project structure, project expects that involvement of Permanent Secretary of the MWE as chairperson of the project board will help to provide backstopping and promote TACC results into the NCCP. But effort is needed to link CCU in the project so that it could help to coordinate RCCF and other activities. Involvement of permanent secretary from the MoLG is expected to support to replicate lessons learned from this piloting in all other districts through incorporating in the national policy and following directives. But this should be promoted in the final board meetings and also through follow up lobbying by all stakeholders including UNDP.

3.2 Project Implementation

3.2.1 Adaptive Management

47. The Project's adaptive management has been good throughout, stemming from the highly capable management, backed by good decision-making by the Project Board, technical feedback from steering committee and support and advice from the UNDP-CO. Adaptive management has operated effectively at both the strategic level and the tactical level.

48. The MTE made a list of recommendations and positive responses were made to the majority – the management response listing “agreed” to all of them.

49. The Project monitored the impact, adoption success and challenges to different project activities and made appropriate practical arrangements.

50. Project at its management level, regularly updated RRF targets to adapt to changing circumstances to adjust delays in procurement services. It has also been updating risk situation. Similarly, adapting lessons learned from the first round of small grand program implementation modifications in approaches were made. These indicate appropriate application of adaptive management to project implementation.

51. To address weak technical strength in the PMU, UNDP hired technical advisor to provide technical support to the project. Consultant analysed activities in the light of time frame and budget and suggested to implement only three (improved cooking stove, coffee agro-forestry and afforestation) out of six carbon finance projects and project management adopted this recommendation. But there were more rooms for improvement in adaptive management through strengthening of field monitoring by DLG, ITCP steering committee, PMU and UNDP.

52. PMU updated risk log as per recommendation of the MTR. List of MTR recommendation and action taken are provided in annex XVI.

Though in the initial phase there were some problems, latter it was organised and managed throughout providing products of the highest technical quality on time and within budget, while responding effectively to a range of internal and external challenges through good adaptive management, hence the implementation approach has been evaluated as **Satisfactory**.

3.2.2 Partnership arrangement

53. Wide range of stakeholder consulted at project design. Implementation partners were identified based on their capacity and experience. Similarly, partners were made fully aware on the project objectives, outcomes, outputs, and activities.

54. **Donor partnership:** Partnership was established with DANIDA and DFID. DANIDA fund helped to address the shortfall of the budget. DANIDA funds were approved from Copenhagen although they did not fit well within the country level programme. DANIDA fund was mainly used for carbon finance program. Similarly, DFID fund was used for supporting output 2, 3 and 5 (capacity building, ICTP development and Lesson learned i.e. knowledge management). Delay in project implementation made partners impatience and as a result Welsh decided to go ahead with funding directly through Mbale CAP. Moreover, differences in disbursement of fund and reporting requirement also made dissatisfaction among donor partners. WAG provided a consultant to develop the draft Communications Strategy. These experiences with different donors need to be noted and to avoid such situation and for making smooth cordial environment for multi donor partnership.

55. **Implementing partnership:** District Local Government was implementing agency and it implemented mainly training, knowledge sharing (seminar/workshops/board meeting/steering committee meetings) while other program implementation responsibility was conceded to the PMU.

But authority of approval of the reports, accounts and reporting was retained with UNDP. Similarly, monitoring of the project implementation was responsibility of ITCP Steering Committee. Staffs of the Local Government were made aware of project objectives and were participated in the project activities. Partnerships with NGOs and CBOs was effective and this helped in effective implementation of small grant programs and carbon finance schemes.

56. The weakest thing in this project was the RCCF, which was working as a forum to discuss issues of common concern and not been effective in transforming the message from these discussion to feedback the ground level implementation. Moreover, its future was also uncertain as it does not have any legal backup. As each of the districts were raising interest to have such forum for their district, it may not last unless this is legally supported and made arrangement of coordination.

57. The Project effort was focused on building local capacity for making agro-forestry, livestock rearing and tree management, improved livelihood and environment for the benefit of the local communities. The information generation, knowledge management and legal and institutional set up helped to address vulnerability to climate change at the local level. Capacity enhancement and mainstreaming climate change through incorporation in every sectorial planning expected to help to address climate change and its potential risks. Awareness generated among community members and capacity enhancement of district local government staffs had contributed a lot in creating an enabling environment for the smooth progress of the project. These capacity enhancements, commitment from government agency and policy back up is likely to make project initiative sustainable in the long-term.

58. The Project reached a wider audience through awareness generation through training, workshops/seminars, media coverage and webpage. Distribution of quality knowledge products (reports, posters, booklets, manuals etc.) of the project to a wide range of audiences was also made. All project outputs / deliverables were uploaded on websites (<http://www.tacc.ccu.go.ug/>) for wide and easy access. Project knowledge management system was linked with the Climate Change Unit website to share knowledge to government agencies and planners and policy makers.

59. The TET found that stakeholder engagement and participatory approaches have been of the highest order throughout.

The Project has worked closely with many stakeholders throughout and the active engagement of stakeholders has been vital to fulfilling its achievements, hence stakeholder participation is evaluated as **Highly Satisfactory**.

3.2.3 Feedback from M&E activities used for adaptive management

60. As mentioned in the MTR report that the project had limited feedback of M&E activities involving partners and after the recommendation of MTR, some improvement was made but still it was not sufficiently improved. The circulation of the report was still limited to some district officers and steering committee and board members. At the higher level, reports were provided to CCU and Ministry of Local Development but no feedback practice was observed. No noticeable action of using lessons from the piloting of adaptation actions of the TACC to strengthen NAPA implementation was learned. Similarly, information was not available from NAPA implementation for adaptive management of this project.

61. Since the M &E from project management was limited mainly to follow up accountabilities and collecting beneficiaries forms, its contribution in adaptive management was limited. Similarly, M & E from UNDP (only 2visits), ITCP steering committee (only once in 2013) and District Local Government technical team (visited the field once per district in 2013) was very limited hence project could not get much support for adaptive management from them. Project management indicated that due to limited human resource with the PMU they could not perform much M&E of the project activities at the ground. According to UNDP and DLG, due to nature of the terrain they had difficulties to increase frequency of monitoring.

62. Information database was developed for benefiting wide audience but use of monitoring information in planning and policy formulation was not observed till terminal evaluation. The District Local Authority was not able to update database and use in development planning. Such practices are yet to be seen in the next planning phase of the government.

3.2.4 Financial Assessment

63. On the financial front, the total Project budget was US\$1,000,000 which includes the UNDP contribution US\$ 300,000, DFID contribution US\$450,000 and DANIDA contribution US\$250,000. Similarly, there were kind contribution of US\$100,000 from UNDP GEF/SGP, US\$225,000 from Waterloo Foundation and US\$330,000 from Welsh Assembly Government. If Project spending is used as a basis to measure progress of implementation, then the Project has achieved the progress within the budgeted amount except for component 5 which exceeded the budgeted amount (Table 6). At the time of project development there was budget short fall of US\$250,000. Except financing from DANIDA, other co-financing was planned and clearly mentioned in the project document and involvement of DANIDA helped to fulfill budget shortfall. The UNDP contribution was slightly less than mentioned in the project document. DFID contribution was increased than the amount mentioned in the project document i.e. from US\$464,459.4 to US\$472,773.9. DFID co-financing was increased due to bank exchange gain and it helped to cover the increased cost owing to extension of project timeframe. The executing and implementing agencies made close monitoring of financial transactions and program implementation and timely materialized the fund for activities by re-allocation of fund and this helped to accomplish activities for desired results.

- Project management costs (Component 6) were primarily funded by UNDP and DFID. Project management costs were budgeted as 33.6% of the total budget but actual money spent stood at 28.8% and 71.2% spend on programs – a cost-effective result indicating significant efficiency in running the Project;
- UNDP funding contributed 32.8% expenses of the project. Similarly, DANIDA funding contributed 22.2%, DFID funding contributed 44.6% and Mbale District Local Government contributed 0.41% to the total project expenses;
- The actual UNDP funding exceeded by US\$ 131,311 than planned and the reason for increase was increased management cost due to extension of project period by one and half year and donation of vehicle to the project.
- Of the US\$380,626 budgeted as project management cost, only US\$305,478.03 was spent (only 80% of budgeted amount). This was a cost-effective result indicating significant efficiency in running the project. There was no indication that this was achieved through any lack of quality, but it is unlikely that it could have been achieved for significantly less;
- The final UNDP : co-finance ratio in terms of monies spent was 1:2 (US\$348176.16 to US\$686920.25), a very good result;

The Waterloo Foundation and Welsh Assembly Government fund was managed by Welsh Assembly Government so detail spending information was not available to the project management unit and not included in this report ;

The amount of Government support was not mentioned in the project document but the actual contribution to the project management from government was equivalent of US\$4321.65 (in kind);

- Spending on Component 1, 2, 3, 4 and 5 (US\$97,052.78, US\$181,859.07, US\$102,804.51, US\$235,055.70 and US\$138,224.67) accounted for only 9.2%, 17.1%, 9.7%, 22.2% and 13% of the total spend, an extraordinary low level for a project compare to 28.9% (US\$305,478.03) spent on Components 6 which were focused primarily on interventions within the three pilot Districts;
- UNDP funding was heavily allocated for component 1, 5 & 6. Similarly, DANIDA funding was mainly allocated for component 4 and DFID fund for component 2, 3, 5 & 6. Of the total UNDP fund, 27.9% spend on component 1, 4.6% on component 5 and 67.5% on component 6.

- Of the DANIDA fund, 99.9% spend on component 4 and nearly 0.1% on component 6. Similarly, of the DFID contribution, 38.5% spend on component 2, 21.7% on component 3, 25.8% on component 5 and 14% on component 6. All kind contribution of Mbale local government was on component 6.

Table 6: Total disbursement (by 20th December 2013) of funds (US\$) by output against full project budget as per Project Document.

	UNDP			DANIDA (co-funding)			DFID (co-funding)			Mbale District Local Government (Kind)			Total At 20th Dec 2013		
	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%
Component 1	127839	97052.78	76%	0	0		0	0		0	0		127839	97052.78	76%
Component 2	0	0		0	0		184142	181859.1	99%	0	0		184142	181859.1	99%
Component 3	0	0		0	0		107468	102804.5	96%	0	0		107468	102804.5	96%
Component 4	0	0		237943	235055.7	99%	0	0		0	0		237943	235055.7	99%
Component 5	17392	16115.52	93%	0	0		90360.41	122109.2	135%	0	0		107752.4	138224.7	128%
Component 6	286080	235007.9	82%	12057	147.31	1%	82489	66001.21	80%	0	4321.65		380626	305478	80%
Total	431311	348176.2	81%	250000	235203	94%	464459.4	472773.9	102%	0	4321.65		1145770	1060475	93%
Revised at endorsement	431311		81%	250000		94%	450000		105%				1131311		94%

Source: UNDP

64. Despite the delay in the initial phase, the total project cost did not exceed the budgeted amount.

65. Tables 7-10 show the disbursement of UNDP, DANIDA, DFID and Mbale Local Government by component over time. Table 11 gives over view of co-financing.

TABLE 7: Total disbursement of UNDP funds (US\$) by Component by year against budget as per Project Document

	2011			2012			2013			Total		
	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%
Component 1	60,619.00	39,837.84	66%	47,871.00	43,491.00	91%	19,349.00	13,723.94	71%	102,677.84	97,052.78	95%
Component 2	-	-	-	-	-	-	-	-	-	-	-	-
Component 3	-	-	-	-	-	-	-	-	-	-	-	-
Component 4	-	-	-	-	-	-	-	-	-	-	-	-
Component 5	-	-	-	3,841.00	676	18%	16,716.00	15,439.52	92%	17,392.00	16,115.52	93%
Component 6	84,627.00	102,543.80	121%	82,539.00	81,441.54	99%	105,784.00	51,022.52	48%	286,080.00	235,007.86	82%
Total	145,246.00	142,381.64	98%	134,251.00	125,608.54	94%	141,849.00	80,185.98	57%	431,311.00	348,176.16	81%

SOURCE: UNDP.

66. Analysis of the budgeted and the actual expenditure shows slight difference in component 1 and 6 i.e. actual expenses were less than budgeted while in case of component 5 there was big difference i.e. actual expenses was bigger than budgeted. In case of components 2, 3 and 4 the actual expenses was close to budgeted amount.

TABLE 8: Total disbursement of DFID Fund (US\$) by Component by year against budget as per project Document

	2011			2012			2013			Total		
	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%
Component 1	2,406.25	0	0%	-	-	-	-	-	-	-	-	-
Component 2	69,607.75	25,829.00	37%	135,672.00	136,244.00	100%	22,069.00	19,786.07	90%	184,142	181,859.07	99%
Component 3	49,200.00	0	0%	35,020.00	23,004.00	66%	84,464.00	79,800.51	94%	107,468	102,804.51	96%
Component 4	5,500.00	0	0%	28,399.00	0	0%	0	0	-	0	0.00	-
Component 5	11,350.00	1,317.33	12%	17,518.00	26,912.00	154%	61492.41	93,879.82	153%	90,360	122,109.15	135%
Component 6	31,105.00	3,763.18	12%	62,283.00	29,161.15	47%	40,132.00	33,076.88	82%	82,489	66,001.21	80%
Total	169,169.00	30,909.51	18%	278,892.00	215,321.15	77%	208,157.41	226,543.28	109%	464,459.41	472,773.94	102%

Source: UNDP.

At endorsement\$450,000

105%

TABLE 9: Total disbursement of DANIDA funds (US\$) by Component by year against budget as per Project Document

	2011			2012			2013			Total		
	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%
Component 1												
Component 2												
Component 3												
Component 4	128,317.00	1327.98	1%	98,920.00	56,870.55	57%	179,744.45	176,857.17	98%	237,943.00	235,055.70	99%
Component 5												
Component 6							12,057.00	147.31	1%	12,057.00	147.31	1%
Total	128,317.00	1,327.98	1%	98,920.00	56,870.55	57%	191,801.45	177,004.48	92%	250,000.00	235,203.01	94%

SOURCE: UNDP.

Table 10 : Total disbursement of Umbale Local Government fund (in kind) US\$ by component by year against budgeted.

	2011			2012			2013			Total		
	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%	Budget	Actual	%
Component 1										-	-	
Component 2										-	-	
Component 3										-	-	
Component 4										-	-	
Component 5										-	-	
Component 6		1,440.55			1,440.55			1,440.55		-	4,321.65	
Total		1,440.55			1,440.55			1,440.55			4,321.65	

SOURCE: PMU.

Table 11: Co-financing Table.

Co-financing (type/source)	UNDP (US\$)		DFID (US\$)		DANIDA (US\$)		Mbale Local District Govt. (kind) (US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants	300,000	348,176.16	450,000	472,773.94	250,000	250,000	-	-	1,000,000	1070950.16
Loans/ Concessions	-	-	-	-	-	-	-	-	-	-
In-kind support	100,000	100000	-	-	-	-	-	4,321.65	100,000	104321.65
Others			-	-	-	-				
Totals	400,000	448,176.16	450,000	472,773.94	250,000	250,000	555,000	4,321.65	1,100,000	1,175,271.81

Source: UNDP.

67. Table 7 shows the actual funds of UNDP spent for each component by year. It clearly show that Component 1 was funded by the UNDP with peak disbursement in 2012 while for component 5 it was 2013 and for component 6 it was picked in 2011. Component 4 funding by the DANIDA peaked disbursement in 2013; and Component 3 which was funded largely by the DFID with peak disbursement made in 2013. Project management costs (Component 6) peaked in 2013 believed to be connected with the amount of work conducted in that year and also project staffs other than PM were hired after July 2012 which also increased management cost. The peaked disbursement relates with the quantity of work done during those years.

68. Throughout, PMU has exhibited excellent financial planning and management skills in dealing with the Project in terms of the array of activities undertaken. Project had periodic auditing arrangement to maintain transparency in financial management. At all times, the Coalition Against Poverty (CAP) has been kept abreast of the Project's progress through good reporting and this has allowed the necessary budget revisions to be made on a sound basis. Similarly, the link between DLG and the UNDP-CO has been efficient in ensuring that budget replenishments have been timely and there have been no inherent procedural delays.

69. Personnel from District Local Government, MWE, MLG and I/NGOs were found very impressed from the project and they were advocating lessons from the project. Some donors expressed interest to support in second phase of this project and also District Local Government started allocating fund for replicating lessons from this project.

Financial planning and management has been extremely effective throughout. Accounting and reporting has been thorough and of the highest order, enabling sound decision-making to be made, hence financial planning has been evaluated as **Highly Satisfactory**.

Cost-effectiveness

70. The *UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported GEF-financed Projects* (2011) eventually defines the criteria of "efficiency" in Box 3 as:

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

71. Overall, the Project appears to have been extremely cost-effective since it has produced all of its planned deliverables within its original GEF budget. All levels of the Project have appeared to have taken cost-effectiveness very seriously, looking to get the best results for the money spent. Of particular note were the project management costs. Project management costs ran at only 80% of the projected – a very cost-effective result indicating significant efficiency in running the Project. Project management costs comprised just 28.8%, so the performance could be said excellent. There is no indication that this was achieved through any lack of quality, but it is unlikely that it could have been achieved for significantly less.

Project management costs were trimmed to 80% of those originally budgeted, and cost-effectiveness has been a priority of the implementing agency throughout, amongst their priorities. This, combined with significant levels of additional co-financing leveraged by the Project's activities, means the overall cost-effectiveness of the Project has been extremely high, hence it is evaluated as **Highly Satisfactory**.

3.2.5 Monitoring and Evaluation: Design at entry and Implementation

72. The Project design contained standard monitoring and evaluation (M&E) plan which was comprehensive in its depth and scope. The project had logframe to monitor achievement and logframe had outcomes, outputs and activities and indicators to judge achievement of the activities. The logframe was revised to make it SMART.

73. All activities were listed and explained, and a table was included determining responsibilities, budgets and timeframe for each. Budgets were set realistically, with a total of US\$54,912 (fifty four thousand nine hundred twelve) being set aside specifically for M&E activities. Log-frame indicators were quantitative, SMART and results-oriented. Baselines were already set in the Project Document. The inclusion of indicators for each activity, while not used to measure Project achievements in this evaluation, were nonetheless very good for management purposes.

The design of M&E was standard, with a fully itemised and costed Plan included in the Project Document covering all the various M&E steps including the allocation of responsibilities. Implementation of M&E by the partner organisation was satisfactory while from the implementing agency including PMU was weak. The TET considers the overall M&E average and rating for monitoring and evaluation has been evaluated as **Satisfactory**.

M&E Design and Implementation

Monitoring and evaluation of Project activities have been undertaken in varying detail at three levels:

- i. Progress monitoring
- ii. Internal activity monitoring
- iii. Impact monitoring

74. **Progress monitoring** has been good and has been made through quarterly and annual reports to the UNDP-CO. The annual work plans have been developed at the end of each year with inputs from Project staff and the UNDP-CO. The annual work plans were then submitted for endorsement by the Project Steering Committee (PSC), and subsequently sent to UNDP for formal approval. The implementing team has also been largely in regular communication with the UNDP-CO regarding progress, the work plan, and its implementation. Project management has also ensured that the UNDP-CO received quarterly progress reports providing updates on the status of planned activities, the status of the overall project schedule, the products completed, and an outline of the activities planned for the following quarter. These reports' format contained quantitative estimates of project progress based on financial disbursements. The UNDP-CO generated its own quarterly financial reports from Atlas. These expenditure records, together with Atlas disbursement records of any direct payments, served as a basis for expenditure monitoring and budget revisions, the latter taking place bi-annually following the disbursement progress and changes in the operational work plan, and also on an *ad hoc* basis depending upon the rate of delivery.

75. From the quarterly reports, the UNDP-CO has prepared Quarterly Operational Reports which have been forwarded to UNDP/GEF Regional Coordination Unit, and also upload all the information on ATLAS. The major findings and observations of all these reports have been given in an annual report covering the period July to June, the Project Implementation Review (PIR), which is also submitted by the Project Team to the UNDP-CO, UNDP Regional Coordination Unit, and UNDP HQ for review and official comments, followed by final submission to the GEF. All key project reports were presented to PS members ahead of their half-yearly meetings and through this means, the local government office has been kept abreast of the Project's implementation progress. Monitoring report was discussed with all stakeholders.

76. The Project Management Office (PMO) and the UNDP-CO have maintained a close working relationship, with Project staff members meeting, or talking with, CO staff on an almost daily basis to discuss implementation issues and problems.

77. The Project's risk assessment has been conducted regularly together by the UNDP-CO with the main risks identified along with adequate management responses and person responsible (termed the risk "owner"), who in most cases differs from the person who identified the risk.

78. A Mid-term Evaluation (MTE) was undertaken in 20 November -12 December 2012. The report made formal ratings for the elements. The report also discussed efficiency, effectiveness, sustainability, lessons learned, gender perspective, adaptive management, cost-effectiveness and replication aspects. It made several suggestions to strengthen project implementation and also pointed out weak and lacking linkages which were needed to facilitate implementation and also to make achievement sustainable. A complete reading of the report returns an overview that the Project was considered to be on track. APR/PIR self-evaluation rating was almost consistent with the MTR and TE findings.

79. Monitoring from the central government level was very weak as monitoring was taking place only through Project Board meetings that took place once a year. UNDP quality assurance was mainly on the basis of submitted reports. It also made two field assessments and provided feedback to the project.

80. Internal activity monitoring undertaken by PMU, UNDP CO, Mbale District Government, ITCP Steering Committee and RCCF appears to have some problem. On-the-ground monitoring in each district was led by the focal point but involved at times members of the Technical Planning Committee of the district and the Sectorial Committee for ENR of the District Council. The focal points organized M&E feedback meetings and briefed the district leadership through the Technical Planning Committee. This appears quite comprehensive. However, monitoring was very less as project managers and steering committee members visited project sites only 3 times. Technical feedback in programs implemented directly by the Project Management had problem while the ones implemented through partner NGO has better monitoring and technical feedback.

81. The beneficiaries of small grants were monitored by the CSOs holding the grants as required under their contract requirements. Monitoring was conducted every month – which was not easy for the CSOs as beneficiaries were scattered over the big area. The quality of monitoring by the CSOs was poor due to limited technical skills on the part of the monitoring team and hence little correction measures were being undertaken as a result of the monitoring (adaptive management). CSOs were reporting on progress to the PMU. Reporting was poor earlier but PMU trained them to improve quality of report.

82. Unusually, impact monitoring has been very well-developed, with formal protocols in place to measure change in livelihood from grant programs, change in economic situation of target households, decrease in demand of firewood with the use of bio-briquette, knowledge level increased and people's access to information on climate change, forest protected due to incentives from carbon financing and economic returns from fruit trees, development of territorial climate plan and

mainstreaming of climate change in sectorial development programs, capacity enhancement of institutions and local communities etc. using state-of-the-art scientific methods. Undoubtedly this had arisen from the strong scientific backgrounds of the Project's designers, enhanced by the same of its technical staffs and managers. As is most often the case, the adaptive management of the Project has been influenced to a much greater extent by external variables and overcoming the problems (or taking opportunities) that these have presented than by responding to internal monitoring.

The design of M&E was of a standard for the design period, with a fully itemised and costed Plan included in the Project Document covering all the various M&E steps including the allocation of responsibilities; hence monitoring and evaluation design has been evaluated as **Satisfactory**.

M&E implementation and progress monitoring was good at the internal (central) level while monitoring by implementing agency and PMU at the field level was weak. Good responses have also been made to the most of the mid-term review and the risk assessments, and the TET considers it to be "good practice", hence the implementation of monitoring and evaluation has been evaluated as **Satisfactory**.

3.2.6 Implementation Approach

Project Oversight

83. UNDP National Implementation Modality (NIM) was applied to ensure broad stakeholder participation and to create both a high flexibility and an enabling environment for innovation. Project was executed under the execution of UNDP CO and implemented by the Mbale District Government. Regular meetings were conducted to discuss on progress and constraints of the project. UNDP had ensured high-quality technical and financial implementation of the project through its local office in Uganda. UNDP CO was responsible for implementing activities, monitoring and ensuring proper use of GEF funds to assigned activities, timely reporting of implementation progress as well as undertaking of mandatory and non-mandatory evaluations. All services for the procurement of goods and services, and the recruitment of personnel were conducted in accordance with UNDP procedures, rules and regulations.

UNDP supervision and backstopping

84. UNDP-GEF supervision was accomplished by standard procedures and undertaken competently. There was some delay in responding to project difficulties mainly disbursement of money and procurements in the beginning but latter it was resolved. Key aspects of supervision were made through UNDP's involvement in communication with the Ministry of Water and Environment, District Local Government of Mbale and other stakeholders. Members of the Energy and Environment Cluster were involved in regular issues such as the review and approval of work plans and budgets, review of progress and performance against such work plans, and completion of the tracking tools. It appears that the CO was helpful and supportive throughout the implementation period, responding adequately to provide good guidance, honest and constructive criticism, and help to overcome particular problems as necessary.

UNDP have provided an adequate level of supervision and backstopping to the Project, and its performance has benefitted as a direct result, hence UNDP's supervision and backstopping role is evaluated as **Satisfactory**.

3.3 Project Results

3.3.1 Overall Result (Attainment of Objectives)

85. Project help to achieve global environment benefits by addressing threats related Climate Change. Following arrangements were done for addressing climate change related threats and reducing vulnerability to climate change:

- Increased knowledge on climate change issues and adaptation/mitigation among farmers and policy makers/planners.
- Provided economic incentives from carbon financing scheme and livelihood support activities through small grant programmes encouraged farmers to conserve trees. This helped to generate local guardianship to conserve Trees to support carbon sequestration contributing in global climate change issue.
- Implemented various income generating activities to alleviate poverty and also increase knowledge. These help to improve resilience capacity of the villagers.
- Afforestation and agro-forestry helps to increase carbon sequestration while alternative energy and improved stoves helped to decrease emission to atmosphere.
- Mainstreaming of climate change issues in development planning assures climate friendly sustainable development.
- Establishment of Regional Climate Change Forum helps in coordination at the regional level to mainstream climate change issues in development planning and sharing lessons learned. Establishment of monitoring plan to help adaptive management and strategic planning practices help in addressing climate change which is of global concern.
- Knowledge management and dissemination in wide audience help development of strategy to cope Climate Change of global concern.

86. A Summary of the Project's achievements is given directly below, followed by an outline of the attainment of objectives. This is followed by a Review of Outcomes to Impacts in Table 11 and a brief discussion on the verifiable impacts. A summary evaluation of Project Outputs is given in Table 12 followed by a more detailed description. A detailed evaluation of the level of achievements made against the indicators of success contained in the log frame is given in [Annex IV](#).

Summary of Achievements

87. The TACC Project has been well designed, and well- managed and implemented throughout. The project team had managed to deliver a series of interventions that have significantly reduced vulnerability to climate change to households directly involved in piloting the Small Grant Scheme. In the process, the Project had demonstrated a number of innovative approaches particularly through economic incentive approaches that could be expanded within the region or be replicated elsewhere in the country. One of its biggest strengths had come about through a design-decision to work directly through existing government structures (Mbale local Government) and local grassroots level institutions. Since Mbale Local government institution was the implementing institution, this made easier to work in close cooperation with them and also with local NGOs, and government institution taking full ownership for most of the Project's outputs. Excellent work in the three pilot districts brought benefits to many community members thereby laying a solid foundation for improved understanding of, and cooperation on, Climate change and forest conservation issues in the future. As will be seen below, the achievement of the activities under each of the five Outputs have been evaluated as highly satisfactory, and the evaluation of achievements against indicators (provided in [Annex IV](#)) show that all of the activities and accomplished with 99% success.

Overall, the Project has achieved all its major global environmental objectives, and yielded substantial global environmental benefits, without major shortcomings. The project can be presented as "good practice", and hence its attainment of objectives and results is evaluated as **Highly Satisfactory**.

88. Key Project achievements include:

- I. Partnership, coordination and participation platform for climate change planning and programming established.
 - The ITCP Steering Committee, Mbale Region Climate Change Forum (RCCF), working groups and a work plan established.
- II. Capacity to integrate climate change issues into regional development plans and actions built.
 - The climate change small grants scheme established and small grants disbursed to qualified applicants assuring quality of the awarded activities.
 - Capacity needs assessment towards low carbon and climate change resilient development conducted. Capacity development plan developed incorporating the ITCP, policy and investment package.
 - Training and awareness programs developed and implemented for decision makers and general public on CC risks and opportunities.
 - Evaluation of training activities conducted to improve the quality of training.
- III. Integrated Territorial Climate Plan (ITCP) formulated.
 - The Climate Profile of the region developed.
 - Analysed Climate Change mitigations and adaptation options.
 - Developed the Climate change action Plan
 - Formulated the integrated Territorial Plan based on the above mentioned activities and endorsement of the ITCP.
- IV. Climate change policy and investment package developed.
 - Prefeasibility studies conducted for prioritising project ideas.
 - A list of climate change project ideas developed including the identification of project level emissions mitigation and/ or sequestration activities.
 - Options for the introduction of legal and financial instruments identified to address climate change. Potential sources of funding identified for funding future project activities (Phase 2).
 - Project proposals prepared and submitted to donors, carbon financiers and other relevant parties.
 - Project concept marketing and partnership building was conducted.
- V. Lessons learned and best practices disseminated.
 - Knowledge management system developed to capture lessons learned and to promote project results and replications.
 - Project website established and web-based discussions and dissemination of information and lessons learned and production of knowledge products to targeted audience in appropriate languages and according to the communication strategy accomplished.

3.3.2 Relevance

89. As a party to UNFCCC, Uganda has to place appropriate adaptation and mitigation measures to address impacts of CC as well as to implement awareness raising programmes. This project had contributed to enhance knowledge and capacity of the planners which could contribute in mainstreaming CC into relevant sector policies and plans.

90. UNDP's climate change strategy introduces four strategic priorities (SPs): (i) Support the design of integrated Climate Change Policies, Strategies and Quantified Actions Plans; (ii) Promote early adaptation actions and long-term adaptive capacity of developing countries in a programmatic manner; (iii) Attract and drive direct private and public investment towards lower carbon technologies and sustainable land use practices; (iv) Integrate climate change into UN and UNDP development assistance at the global, regional and national levels. This project falls under the SP1 are relevant to UNDP's climate change strategic priorities.

91. Uganda has already started experiencing climate change impacts and the Climate Change related profile developed by the project also projected increase in temperature by 2⁰C and an increase in rainfall (except in the rain shadow of Mt Elgon) in the Mbale region in the next 30 years. In Mbale region 77% of the population are farmers and are highly dependent on natural resources for every day's survivability and are vulnerable to climate change risks. The International Climate Risk Report also identified Uganda as one of the least prepared and most vulnerable countries in the world (CIGI 2007)⁴. Responding to these facts, Uganda has recently developed a National Climate Change Policy (NCCP) to adjust to and cope with the impacts of climate change (adaptation) and also the causes (mitigation). The NCCP also aims to establish an appropriate institutional framework to coordinate coping strategies and actions. As per the existing provisions of the National Environment Act, each of the Districts has to prepare District Environment Action Plans (DEAPs) and integrated them in District Development Plans (DDPs). Weak knowledge and capacity among policy maker and development planner was barrier in this process. The capacity enhancement activities of the TACC project will help them to accomplish these tasks as it is designed to support local decision-makers and planners in designing integrated climate change (adaptation and mitigation) policies and strategies, and formulating concrete actions and investment plans that promote long-term sustainability and poverty reduction in the context of local and regional development. The NCCP represents the overall policy framework for climate change adaptation and mitigation. The information generated through piloting approaches to low-carbon and climate change-resilient local development on-the-ground by this project generated provide feedback to a national climate change coping strategy.

92. The TACC project is relevant to the Uganda's environment and sustainable development objectives. Uganda's development objectives which are articulated in the National Development Plan (2010/11 2014/15) contains sections on environment and climate change as enabling sectors for development. Its environment objectives instruct restoring degraded ecosystems (wetlands, forests, range lands and catchments) to appropriate levels, ensure sustainable management of natural resources and minimize degradation and identify and address emerging environmental issues and opportunities. Similarly, its objective for climate change resilience instruct to develop national capacity for coordination and implementation of climate change adaptation and mitigation actions in the country in support of social welfare and national development, ensure climate proof development planning, promote low carbon economic development path, meet Uganda's international obligations.

⁴ CIGI (2007), International risk report, The Center for International Governance

93. The Uganda NAPA was launched in 2007 to address issues of mainstreaming CC adaptation into development in four pilot districts but has made only little progress. Since objectives of both NAPA and TACC are similar they complement each other and lessons from TACC help to address weakness of NAPA program.

94. Though mainstreaming climate change in development planning is one of the objectives there has not been attempt to apply this to the NDP. This project help to enhance capacity and knowledge of planners, it is expected to contribute in mainstreaming NDP during its mid-term review and also upload achievements of this project either directly through the CCU or through the MoLG into the revision process.

95. The resettlement of population from disaster prone upper slopes to urban centres by the government seems to allow these people to continue agricultural practices in those areas that could continue disaster risks. The replication of lessons learned from mitigation and adaptation programs from this project piloting could help to address erosion and landslide problems of those areas.

3.3.3 Country Ownership

96. This project was developed in line with the objectives of the national policy development and intends to contribute with lessons from piloting to the new NCCP. Project was designed to address the climate change issues of the country and was in line with the government's development strategy and had also given priority to the poverty alleviation as it is the root cause of environmental problems. It had economic development activities to address poverty and livelihood and also linked financial incentives to protect trees that contribute in addressing climate change issues. The ultimate aim of the programme was to mainstream climate change mitigation and adaptation in national development planning to assure climate friendly sustainable development addressing poverty alleviation. To support this aim, project pilot adaptation and mitigation actions and use lessons learned from these to feedback national development planning process. The active role of MWE, MoLG, CCU of MWE and District Local Governments at the central and district level and by the local CBOs and local communities strengthen ownership in the project.

97. Government officials were involved in the project development and the Project Board was headed by the Permanent Secretary of the MWE and had made an effective contribution in steering the activities of the project. Since representing people in the PB were of capacity to influence policy formulation, they could contribute in uploading lessons learned from this project to national policy formulation process but is yet to be fulfilled. Mbale District Local Government had also made contribution (in-kind) and also was the implementing agency of this project. Project steering committee was represented by government institutions, donor agencies, civil society organisation, political bodies and experts.

98. Project supported to form ITCP committee which had been a unifying factor of leadership in the 3 districts along CC action plan development and bringing in political leaderships to agree to work together. Similarly, the Mbale Regional Climate Change Forum (RCCF) was established in June 2011 and was chaired by Chairperson of Bududa. This helped to advocate CC issues in a wide range covering whole Mt. Elgon region of Uganda (TACC & EBA areas). Both ITCP SC & RCCF helped to bringing together NGOs/CBOs and 3 Districts leaders and bureaucrats to mainstream CC in District Development Planning process.

3.3.4 Mainstreaming

99. TACC project has contributed in enhancing capacity of the policy makers and planners with knowledge related to climate change and opportunities to address them. This had intension of helping them in mainstreaming climate change adaptation and mitigation in development planning and budgeting. Similarly, the Project Board members could also play important role in mainstreaming climate change into national planning and budgeting frameworks. District leaders, such as the CAOs of the project districts, who also chair various project bodies, could play role in mainstreaming climate change in District Development Plans. Similarly, project partners could promote adaptation and mitigation activities within their programmes and activities.

100. Project enhanced capacity of the policy makers and development planners. It had also generated awareness among rural communities. Similarly, it had contributed in income generation of rural community to reduce poverty and thereby decrease vulnerability to impact of climate change. It had contributed to increase carbon sequestration and reduce environmental hazards. The objective of this project agrees with the priorities of the UNDP country programme and UNDP country programme action plan.

101. Though the project has not made any provision to ensure gender equity in project document, gender received good representation in the project activities. Gender issues were well addressed in staff recruitment as the project manager was a women staff. The project steering committee is also represented by good number of women members. All local beneficiaries groups of small grant program had a majority of women members and two groups were totally managed by women members. This had not only contributed in their economy but also contributed in leadership development of women. This provided women opportunity to make decision on their interest. The project had contributed in economy of local women as many of the small grant beneficiaries were women and this had helped to improve their livelihood, health and education.

3.3.5 Catalytic Role and Replication

102. TACC was piloted in three districts of Mbale region. It helped to enhance capacity of local authorities to mainstream climate change adaptation and mitigation in development planning. Project also contributed in poverty reduction, increased greenery and reduced risk of environmental problems like landslides/erosion. Increased awareness from local farmers' level to policy makers and planners and development of system of knowledge management helped to reduce environmental risks and also strengthened strategy to cope climate change issues. These experiences from piloting could be used to replicate these activities for wider coverage including other districts. This project had developed action plan based on lessons from the piloting in the first phase and has strategy of implementing in the second phase covering more geographical space. High motivation was observed among the District Local Government personnel and politicians and they have expressed commitment to use knowledge in development planning exercise. Some districts already initiated replicating and some using lessons learned in their district development planning eg. Mbale District Local Government captured some of the activities in its development plan and allocated about seven million shillings (FY 2014). Similarly Manafwa and Bududa local government also mentioned they have captured activities of this project in their planning but have not mentioned about budget allocation. Implementation of these activities by the local government is yet to be seen. These give hope of replication in wide areas of the country. Ministry of Local Government (MoLG) and permanent secretary from Ministry of Water and Environment (MWE) are in the project board and as TACC is already captured as successful model project, they may use lessons from this project for influencing new NDP exercise. The Permanent Secretary committed to integrate the program in the 2014/15 National Budget and the Minister's approval has been obtained. Similarly, the Climate Change Unit had taken up this matter and is following up with the PS. Local government authorities, I/NGOs and various donors expressed interest to replicate lessons from this project.

103. TACC has already been captured as successful model project and since permanent secretaries of Ministry of Local Government (MoLG) and Ministry of Water and Environment (MWE) were in the project board, they may use lessons from this project for influencing new NDP exercise. The Ministries particularly CCU had also expressed their interest to use information from TACC to strengthen climate change in the NDP and replicate lessons from piloting to other districts of the country. It is important to note that the CCU used as number of lessons learned from Mbale TACC project during the NCCP formulation.

104. UNDP have been working with these ministries and District governments so they could contribute to coordinate for incorporating lessons learned from TACC project piloting in strengthening Climate Change issues in the NDP and also in expanding such activities in other districts of the country. UNDP also need to work to legalise the status of RCCF and ITCP, arrange coordination arrangement of these structures and arrange funding for running them. But second phase of the project and also replication in other areas should consider strengthening of monitoring at the field level from by Local Government and also from the Project Managements. Other UNDP project in this region and project of other organization like WWF were already replicating plantation and bio-gas program in this region.

105. UNDP facilitates NDP process hence it could help to use lessons learned from this project to include such activities for other districts of the country also. Similarly, DANIDA mentioned that their future support is going to be channelled through the Ministry of Water & Environment with a particular focus on CC mainstreaming. DANIDA was also one of the partners of this project and they may use lessons learned from this project in CC mainstreaming practices. Similarly, DFID expressed that they are interested in capacity development of District Local Government.

106. Knowledge management system developed and relevant officers were trained to use it so it is expected that lessons learned will be used in future district development planning and budgeting and the successful programs from this project will be replicated in all areas of these districts.

107. UNDP together with government representation initiated communication with the development partners and some of them already showed interest to support such programs. Similarly, UNDP in its other programs in Mount Elgon area and projects of other INGOs (eg. WWF) in that area already replicating lessons from this project especially alternative energy (biogas) and forestry.

108. For the benefit of wide audience, a knowledge management system was developed (www.tacc.ccu.go.ug) to help with storage of knowledge and knowledge product including climate data and cross cutting information for helping informed management and planning. Similarly, sharing knowledge was also done through radio programs, newspapers, project report distribution, posters and pamphlets.

3.3.6 Sustainability

109. The evaluation of the sustainability of achievements of this Project is most likely to be sustainable beyond the project life. Some risk could be suspected in relation to political uncertainty as priority of new government may be different and these initiatives will not get sufficient priority. But recent political change in the government had not affected project activities rather continued support so this risk is also not likely. The only risk is institutionalisation of the RCCF and ITCP with legal base and financial arrangements. The sustainability at the Project level was actually very strong and but at policy level it was weak.

Environmental Risk

110. The project activities helped to improve environmental issues and contributed to reduce environmental risks. Project activities are unlikely to be affected by the environmental calamities. There are no environmental risks associated with the sustainability of this Project, hence the environmental sustainability is deemed to be **Likely**.

Socio-economic Risk

111. The socio-economic sustainability of the Project appears very promising. The awareness-raising activities from farmers' level to policy maker and planners' level have been very effective and were able to change in peoples thinking. People were found now very serious on climate change issues and were committed to work to address them. Attachment of Economic incentives to the program activities also make them aware on benefits linked to conservation. Project had helped to improve their economy and also address environmental problems like erosion and landslides. Project had also contributed in increasing awareness of local leaders and they were also impressed from the project activities supported from their level. Due to this awareness, the potential political risk of the project didn't appear even after the change in political situation following election. It had contributed to the economic well-being of many villagers and as a result enjoyed a very wide support base which is being used to help in replicating the schemes in other villages. Hence the socio-political sustainability is **Likely**.

Financial Risk

112. The outlook for the long-term financial sustainability of the Project appears likely but still some level of uncertainty exists as no formal commitment was made yet and effort need to be made to attract funding for these activities. There is less hope of direct funding from the government for these activities as ENR is not priority sector but as each of the components of this project are related to different department's regular activities, lessons learned from this piloting could be used to replicate activities relevant to their department, as for example Department of energy could use lessons learned from the alternative energy activities, forest authority could replicate afforestation and in cooperation with agriculture department replicate agro-forestry and livestock department could use lessons from livestock programs. As project enhanced capacity and knowledge of policy makers and planners, it could contribute in mainstreaming climate change issues in sectorial activities. TACC is already captured as successful project so there is possibility that government will allocate budget to replicate such activities in different part of the country. Similarly, three districts signed ITCP so they are committed to implement it. Since the government agreed to support by signing agreement, they will also provide fund. Moreover, private sector could also be mobilised to support such activities like coffee companies could be interested in coffee agro-forestry, timber and furniture industries could be interested in afforestation, energy companies could be interested in alternative energy, dairy or meat companies could have interest in livestock farming and fruit processing companies in agro-forestry using fruit trees. Donors were also interested to continue such activities but effort is needed to mobilize donor funding. UNDP and some other INGO (eg. WWF) already using lessons learned and replicating in their other projects in Mount Elgon area. Though no formal agreement was made, member organisation of the RCCF expressed their interest to support for the continuation of activities of RCCF. NGOs mentioned to the TET that they will work to bring donors support for replication of the lessons learned from this project. Mbale District Local Government captured some of the activities in its development plan and allocated about seven million shillings (FY 2014). Similarly Manafwa and Bududa local government also mentioned they have captured activities of this project in their planning but have not mentioned about budget allocation. DFID expressed interest to support capacity development of district Local Government. Similarly, UNDP could help to District Local Government to develop proposals and assess funding. Already some funding available, some positive indications received and more opportunities are available for financing achievement of this project financial sustainability is **likely**.

Institutional and Governance Risk

113. The institutional sustainability of the Project at the local level was good as CBOs and NGOs were very active and interested to continue the achievement of this project. The local implementing CBOs and NGO had expressed commitment to continue their support to farmers in the future and were found strongly advocating for the project results. At the central level as well as district level, enhance capacity and awareness had changed the working environment. Policy makers and planners were very much aware on the seriousness of the climate change issues and available opportunities. They have now very positive thinking on the issue and keen to work for addressing them. Only some uncertainty remains on coordination mechanism to continue activities of RCCF and ITCP as it was till now coordinated by the Project Manager. Even these structures do not have legal ground. MWE, MoLG and District Government assured that they will work for legal backing for the RCCF and ITCP steering committee. Hence, to make these sustainable, there is need to institutionalising these institutions with legal backstopping and also financial arrangement for their function. For financial support to RCCF some donors showed interest but they were only verbal so need to make reliable by agreeing in written. Uganda Wild Life Authority (UWA) took responsibility to provide working space (a venue) for the continuation of the Regional forum (RCCF) meetings. A written undertaking is to be submitted to the Chairperson. Also the project activities were within the priority of government of Uganda and existing policies support such activities. Hence, sustainability of institutional and governance is **likely**.

The overall sustainability of the regional component is ranked as **Likely**.

3.3.8 Effectiveness & Efficiency

114. Project was able to achieve all its targeted activities within the budget without compromising quality. Use of CBOs and local NGOs helped to accomplish task cost-effectively and attained target as per desired. CBOs and NGOs also demonstrated their efficiency in implementing project cost-effectively and also able to achieve desired results. Project had also increased capacity of the CBOs through trainings and other capacity enhancement activities. Increased awareness among farmers and other community members, increased economic benefits from project activities that contributed in livelihood of poor household including improvement in health, education of children and reduced environmental risk indicates effectiveness of the project intervention. Similarly, increased knowledge of policy makers/planners and local leaders helped to overcome political risk envisioned by the project. Similarly, political leaders and policy makers' positive remarks on project lessons learned give hope to influence national planning to mainstream climate change in development activities and this will assure long term mitigation to climate change.

115. UNDP had also exhibited its efficiency in executing and lobbying with local and central government to facilitate project activities. It had also exhibited efficiency in financial management which was able to check misuse or mismanagement of the fund. PMU also demonstrated administrative as well as financial efficiency. Similarly, local governments were very cooperative and which has also contributed in effective and smooth implementation.

116. Project was able to achieve its targeted level of expected outcomes or objectives. Stakeholders were also found very satisfied from the accomplishment of the project. They view that the project achievements made significant impacts and was able to meet the objective.

117. Project was able to develop knowledge management system and ITCP which were major achievement of this project and this will have long term impact in policy and program formulation and implementation.

118. Project followed standard scientific methods and used qualified, experienced and dedicated technical manpower. Project also used experienced and dedicated NGO and CBOs which made implementation of activities efficient and helped to achieve target with quality outcomes.

119. Project maintained good relation with all stakeholders and worked in close cooperation and this helped to execute activities efficiently with their cooperation and also made impact effective.

3.3.7 Impact

120. Project was able to increase awareness among farmers as well as among the policy makers and development planners. Capacity of the planning staffs was found enhanced making them capable in designing development plans incorporating climate change issues and also knowledge of District leaders who approve plans was increased to understand climate proofing. Already SEAPs and annual plans had in some cases incorporated ideas of soil and water conservation, terracing, tree planting and roadside planting.

121. Communities were found aware on environmental issues and understand linkage between conservation and trees and climate change and environmental problems like landslide, erosion, excessive rain, drought etc. They were found encouraged to plant and protect trees to control environmental problems. They were able to understand economic opportunities linked to conservation of trees, agro-forestry and alternative energy activities. This will have long run impact that help to improve environmental situation, improve local ecological process, increase carbon sequestration with increased number of trees and decrease landslides/erosion. Similarly, alternative energy program had decreased carbon emission to atmosphere and also decreased use of firewood. But all impact of these will not be seen immediately but only in the future. Immediate visible ones are increased plantation area, use of bio-briquette, biogas and decrease in use of firewood.

122. Community as well as policy makers/planners were able to understand value of alternative energy activities and energy efficiency and decrease in carbon emission was appreciated by them. Due to these appreciations from all, NGOs and other organization were actively working to access funding to conduct such activities in large scale. Already an agreement has been signed between Mbale District Local Government and ECOTRUST to include design and field testing of improved cook stove as a carbon management scheme.

Review of Outcomes to Impacts

Table 11 provides a review of the likelihood of outcomes being translated into intended impacts.

TABLE 11: REVIEW OF OUTCOMES TO IMPACTS AT THE END OF PROJECT SITUATION

Component	Findings	Review of Outcome/outcome to Impacts
<p>Outcome2: Vulnerable segments of the population in Uganda have sustainable livelihoods and employment including improved agricultural systems, to manage the population dynamics, economic disparities, environment shocks and recovery.</p> <p>Outcome 2.2: Vulnerable communities, government, civil society and the private sector are sustainably managing and utilizing the environment and natural resources for improved livelihoods and to cope with the impact of climate change.</p> <p>Outcome (CPAP): i) Selected national & local government institutions & communities capacitated to develop key policies & system for sustain for sustainable ENRM & CC adaptation & Mitigation, ii) Selected local government institution & communities capacitated to mainstream & pilot sustainable ENRM, CC adaptation & mitigation interventions.</p>	<ul style="list-style-type: none"> • The ITCP Steering Committee, Mbale Region Climate Change Forum (RCCF), working groups and a work plan established and had established Partnership, coordination and participation platform for climate change planning and programming. • The climate change small grants scheme established and small grants disbursed to qualified applicants assuring quality of the awarded activities which produced exiting results. Similarly, capacity need assessment towards low carbon and climate change resilient development conducted and based on that capacity development plan developed incorporating the ITCP, policy and investment package. On the base of it training and awareness development programs developed and implemented for decision makers, general public and impact of the training was assured by conducting assessment of the effectiveness of the program. This helped to build the capacity to integrate climate change issues into regional development plans and actions. • The Integrated Territorial Climate Plan (ITCP) was formulated and endorsed. Its development process included development of climate Profile of the region, analysis of available Climate Change mitigations and adaptation options and development of climate change action plan. • The climate change policy and investment package were developed through the process of prefeasibility studies for prioritising and listing project ideas, identification of options for the introduction of legal and financial instruments. • For the dissemination of best practices and lessons learned among the larger audience project developed knowledge management system to capture lessons learned and to promote project results and replications. To disseminate the knowledge as per communication strategy webs-sites developed, promoted web discussions and produced and disseminated knowledge products to targeted audience in appropriate languages. 	BB/ Likely

As a result of the review of outcomes to impacts, the overall likelihood of impacts being achieved is all **Likely**, hence the Project is expected to achieve all of its major global environmental objectives, and yield satisfactory global environmental benefits and its effectiveness is evaluated as **Highly Satisfactory**.

123. Although not within the capability of the TET to verify independently, the monitoring data collected by the Project, but from the field visits and interaction with target groups it was found that the livestock support program, carbon finance scheme, tree plantation, agro-forestry and alternative energy has positive impact in rural economy, health, education and environment.

124. Increased interest among farmers to conserve trees indicates reduction of stress on them which reduce environmental stress. Similarly, increased level of awareness of farmers, increased interest and involvement in conservation of trees and use of low carbon alternative energy schemes assures sustainable management of climate change issues of global concern.

125. Increased level of awareness and capacity among policy makers and planners help to mainstream climate change issues in development planning which help to reduce potential climate change impact from development activities.

ACHIEVEMENT OF PROJECT OUTPUTS

126. This section provides an overview of the main achievements of the Project. It is not intended to be a comprehensive account.

TABLE 12: EVALUATION OF THE END OF PROJECT SITUATION AS PER THE REVISED LOGFRAME

Component	Evaluation*					
	HS	S	MS	MU	U	HU
Output 1: Partnership, coordination and participation platform for climate change planning and programming established.						
Output 2: Capacity to integrate climate change issues into regional development plans and actions built.						
Output 3: Integrated Territorial Climate Plan (ITCP) formulated.						
Output 4: Climate change policy and investment package developed.						
Output 5: Lessons learned and best practices disseminated.						

* Note: HS = Highly satisfactory; S = Satisfactory; MS = Marginally satisfactory; MU= Marginally unsatisfactory; U = Unsatisfactory; HU = Highly unsatisfactory. Components are hyperlinked to relevant section.

The Project has successfully piloted mitigation and adaptation activities to address climate change issues at grassroots level. Piloting with financial incentive schemes that link conservation measures directly with economic benefits for the local communities and improved tree management in the three project districts together with increased capacity of farmers and NGO/CBOs has encouraged people in conservation of trees. The enhanced capacity of the Central and District Local Government will help to mainstream climate change issues in development planning for long term mitigation to Climate change. Majority of Project outputs are ranked individually as Highly Satisfactory with one satisfactory, hence overall the achievement of outputs and activities is evaluated as **Highly Satisfactory**.

Output 1: Partnership, coordination and participation platform for climate change planning and programming established.

127. To achieve this output several activities were conducted which were as follows:

Project established the ITCP Steering Committee in June 2011 and facilitated its operations. Steering committee contained 15 members representing various 15 organisations (Annex XII) and it was chaired by CAO Manafwa. It was fully functional and within project life conducted 10 meeting (by the December 2013). Project Steering Committee meeting also developed working groups and established a climate change small grants scheme under the GEF/SGP modality. The ITCP committee had been a unifying factor of leadership in the three districts along CC action plan development and bringing in political leaderships to agree to work together.

128. Similarly, the Mbale Regional Climate Change Forum (RCCF) was established in June 2011 with defined TORs and was chaired by Chairperson of Bududa. It contains 35 members representing various 24 organisations (Annex XIV). It had conducted five meetings. This helped to advocate CC issues in a wide range covering whole Mt. Elgon region of Uganda (TACC & EBA areas). PM was coordinator of all PB, ITCP and RCCF and facilitated their function. Similarly Focal person in all three project district (Mbale, Manafa and Bududa) were also appointed.

Likewise, stakeholder analysis was conducted and developed a communication strategy to ensure effective stakeholder involvement and strengthen various partnerships throughout the project implementation. Communication strategies were useful for awareness raising and education of CC issues. Project made 2 newspaper coverage, 10 radio talk programs, established project website with project information and publications, linked project website with CC Unit website, produced posters, brochures, reports etc. which was distributed to relevant institutions. Project also had plan to develop documentary on the project activities but was not able to produce due to time constraints.

129. Both ITCP SC & RCCF helped to bring together 15 NGOs/CBOs and three Districts leaders and bureaucrats to mainstream CC in District Development Planning process. The NGOs/CBOs also mentioned that they are using the information from this project for planning and lobbying.

130. The project had also participated in various district level meetings including district council meetings and technical planning committee meetings to raise awareness on the ITCP and solicit for commitment towards climate change mainstreaming in district development planning processes.

All activities to achieve this outputs has achieved all its major objectives assuring contribution to address the climate change issues of the global concern, without major shortcomings. The outputs can be presented as “good practice”, hence is evaluated as **Highly Satisfactory**.

Output 2: Capacity to integrate climate change issues into regional development plans and actions built.

131. To achieve this output, this project undertook various studies with objective of integrating CC issues in regional development plans and actions. The studies covered subjects like Climate Profiles and Climate Change Vulnerability of the Mbale Region of Uganda (by Dr. Michael Mbogga-2012), Adaptation and Mitigation options (by Moses Masiga-2012) and Capacity Development Action Plan (by Dr. W. Kakuru-2012). The information generated from these studies was used in guiding training & knowledge building. Besides, the information generated by these studies was also used in awareness creation as well as guiding for planning CC adaptation and mitigation for Mbale region.

132. Capacity need assessment of institution and individuals was carried out. Assessment also assessed capacity towards low carbon and climate change resilient development including information and data gaps. Based on the assessment, capacity development plan was developed to incorporate into the ITCP and the policy & investment package. Various training and awareness generation activities were conducted to enhance capacity of personal at various levels. 120 technical and political persons were trained (with guidance from the above studies) on CC risk & opportunity analysis. 30 technical officers were also trained in mainstreaming planning & budgeting for CC into District Development Plans (DDPs). Assessment of the training program indicated that participants were benefitted from the training and their level of knowledge had increased on the above mentioned subjects.

133. Likewise, 20 community groups were selected (through competitive bidding) to implement CC related adaptation & mitigation pilot projects with funding support from UNDP-GEF Small Grant. A total of 25,441 (10,176 females & 15,265 males) were benefitted from the UNDP-GEF Small Grant support. Through community initiatives, 270 acres of trees, 1.5 acres of grafted fruit trees and 17 acres of coffee were planted. Likewise, farmers were provided with 50 bee hives from which they were already harvesting and selling honey. 25 households were supported with improved cattle for income to improve livelihoods. 13 vulnerable households were supported with biogas plants for lighting and cooking while waste from the system was used to improve soil fertility. To address problem of fuel wood for cooking among rural communities, 300 households were provided with improved cook stoves. Participants mentioned that their knowledge, skills and actions have been improved to various degrees on soil & water conservation, agroforestry, biomass energy conservation, biogas technology and bee keeping. Out of the 356 applications received from farmers to undertake tree planting, 305 were approved for tree planting and of these 115 were closely monitored. Of these, 62 farmers qualified for payment from carbon scheme. The ECOTRUST project operated in seven sub counties in the region (3 in Mbale, 2 in Manafwa and 2 in Bududa Districts).

Some of the activities accomplished under small grant programs are as follows:

Mbale districts

- A number of studies were undertaken including feasibility study, biomass study & socio-economic studies.
- With the help of community based organisation (CBO) named “Nabweya Parish Development Association (NAPADA)” 1,000 mango grafts were distributed to 50 households and 30,000 assorted agroforestry tree seedlings distributed to 141 households. Similarly, 24 local and 6 exotic goats were distributed to the most vulnerable members of the community for livelihood improvement.
- With the help of CBO named “Nabweya Parish Development Association (NAPADA)” 10,777 Arabica Coffee seedlings distributed to 65 farmers. Similarly, 15,000 Calliandra seedlings planted to stabilise contours along the farming slopes for 65 farmers. Similarly, various fruit tree (210 pawpaws, 121 grapes and 20 grafted mangoes) were planted as demonstration garden on agroforestry for soil and water conservation and 12,500m of contour hedgerows established involving 41 households.
- With the help of CBO named “Mutoto Tree Planting Association” over 10,000 seedlings of coffee were distributed to 50 farmers as a move to promote climate smart coffee production. Similarly, 50,000 different tree seedlings were distributed and planted by farmers.
- With the help of CBO named “Uganda Joint Women Association (UJWA)” four women groups containing 102 members were supported with briquette making equipment (molding kits, racks, presses and crushers to make briquettes from waste materials). This program trained women from the slum areas of Mbale Town in making briquettes which also helped to clean their environment by recycling wastes and at the same time provided income. Women by working only for maximum of four hours for three days in week were producing in average 15,000 briquettes a month which earn equivalent to UGX 100,000.

Manafwa District

- With the help of CBO named “Elgon Education Foundation” 40,000 different tree seedlings were produced by establishing nursery and planted on Bukusu hill involving surrounding communities for rehabilitation of the degraded hill. This CBO had 230 members and their activities were focused on vulnerable groups like girl child, HIV patient and environmental protection. They were also involved in tree planting with educational institutions.
- With the help of CBO named “Kitsi Farmers NGO (KIFANGO)” 76,442 trees saplings were raised and planted by coffee farmers. This organisation has 132 members (82F and 50M) and was involved in soil & water conservation, poverty eradication and environmental protection.
- With the help of CBO named “Bunefule HIV/AIDS Initiative” 2,125 coffee seedlings were planted by 12 farmers (7 male & 5 female). Similarly, 48 farmers were supplied with grafted fruit trees (400 mangoes, 400 oranges, 923 paws, 726 avocados) and 11,076 of various other trees (Maesopsis eminii, Graviola robusta, Albizia, Cordia milleni, Mahogany and jackfruit). This CBO runs two nurseries and buying seedlings from them helped their nursery management.
- With the help of CBO named “African Rural Development Initiative (ARDI)” 267 households were supported with 100 solar cook kits as alternative source of energy for cooking, 100 hay baskets and 100 energy saving stoves. To meet future wood fuel needs, households were also provided with 10,000 trees saplings for plantation.
- With the help of CBO named “Kaato farmers Marketing Initiative” 50,000 different tree seedlings were distributed among 217 farmers. Similarly, 1,4760m of soil bands was stabilized by planting tree saplings established on farming land for supporting 65 farmers.
- With the help of the NGO named “Youth Ending Hunger Association” supported seven vulnerable members of the community with heifers and biogas systems as clean source of energy for cooking and lighting and used the waste from the biogas system as manure in their gardens to enrich soil fertility. Similarly, 1000 agroforestry tree seedlings were distributed to 30 households in a move to curb soil erosion and loss of soil fertility that had increased the community’s vulnerability to climate change effects.

Bududa District

- With the help from the Wesakulira Development Project, 24 households were provided with 50 bee hives and necessary gear to run bee keeping as an income generating activity with the aim of reducing pressure on the forest resources within the area. Similarly, 102 households were supported for developing woodlots which could help to strengthen their economy because there is very high demand for wood in the market. These households were provided with 15,000 different trees saplings.
- With the help of CBO named “the Bududa Evangelical Friends” 40,000 trees saplings were planted to rehabilitate the landslide affected area and also distributed goats to 56 landslide victims as part of livelihoods support programme.
- With the help of the CBO named “When Rain Falls” two Village Environment Committees were formed and trained on their roles. Similarly, 141 households were empowered to construct and use fuel efficient stoves using locally available materials. Many other household also started copying this technology which was helping to reduce the time used to spend for firewood collection and also improved kitchen environment by making smoke free. Similarly, six most vulnerable households were provided with biogas systems for cooking and lighting. This saved their time that they used to spend for collection of firewood and for finding paraffin and saved time could now be used for other works. Similarly, climate change essay competition was organized with the theme “Children as stewards of environment management”. 21 children participated from 21 schools of Bududa district.

134. Such integrated approach to CC yield multiple benefits within the communities like improved livelihoods, adaptation to climate change, mitigating effect to climate change and poverty reduction. Impact of most of these efforts will be seen in the future but some immediate benefit like increase in income and its impact in education, health and household economy were already observed.

135. However, it is learned from several projects that dung from a single cow is not sufficient to get required amount of dung for biogas digester. Hence in the future biogas program should assure that the households that has at least two cows or link it with sanitation program of making toilets and use human scat from toilet for biogas together with cow dung. If the household energy demand is higher than the supply from the biogas plant then other alternative energy need to be linked with the biogas program. Similarly, quality of the locally produced beehives (KTB) was not good as holders of the combs were uneven. Locals should be provided training to produce quality bee hives. Similarly, project should provide advice to CBOs to address various management or technical issues (e.g. in this project advice to develop strategy to discourage free riders was found lacking and free riders could discourage others. In such case, provision of commitment of time and contribution based payment mechanism could help to discourage free riders). Studies indicated that use of improved stove (Lorena stove) could save 80% of fuel wood compare to traditional three stone open fire stove. But explaining rural community with information on quantity of firewood saving will not be effective but if explained in monetary value by converting saved quantity of firewood to money will be more effective to make them aware. Such information will be more effective to convince rural communities on advantages of improved stoves rather than just saying difference of wood use.

136. Moreover, most households visited (and some technical staffs) could not link the community local actions to low carbon and climate resilient development concept. There are many examples out there that could be used to drive the message but they were not utilised. Similarly, training about tree planting should have been conducted on the farm (practical based) not in classrooms and lack of on-farm training and follow up visits after training or after supply of planting materials had resulted in wrong spacing (eg. Plantation of Primary School in Nabweya). Similarly, site specific species selection is very important and it was observed that in the hill areas of Wanale species like *Myesopsis seminii* were found dying. Likewise, the quality of seedlings was not verified to assure quality of tree seedling of all purposes. This may latter result in poor quality of fruit trees or timber trees which may affect the expected economic returns. Project could establish its own central nursery and supply seedlings or provide quality seed to farmers' nursery to assure quality.

These outputs have achieved all its major objectives, and yielded substantial global environmental benefits, with very few shortcomings. The outputs can be presented as “good practice”, hence is evaluated as **Highly Satisfactory**.

Output 3: Integrated Territorial Climate Plan (ITCP) formulated.

137. To achieve this output following activities were conducted:

Project supported development of climate profile for Mbale region. Similarly, Integrated Territorial Climate Change Plan (ITCP) was also formulated and officially launched by the Minister of State for Water and Environment and District Chairpersons of Mbale, Manafwa and Bududa on 11th September 2013 in Mbale District. Their signatures to the Integrated Territorial Climate Plan, indicates Government's commitment to the implementation of this plan. Moreover, it was learned that during ITCP launch, the Minister of Water and environment reiterated government's commitment to integrate climate change in all development priorities of the government as part of implementing a low emission development path and continued prioritization of the importance of climate mitigation. ITCP is a good document that integrated Climate Change Policy and Investment packages/options. Its development was guided by a number of studies conducted by the project (mentioned in output 2) and participatory consultations. The ITCP development also included analysis of mitigation and adaptation options. The ITCP developed under this project is in harmony with the current approved CC policy and National Development Plan of Uganda in which objectives, strategies and prioritised interventions are similar. The ITCP is an important document for integrating CC in DDP/SDP and also to guide investments within the region on issues relating CC adaptation and or mitigation. This was the first Climate Change Plan so far developed at sub-national level in Uganda.

138. To promote concept for marketing and partnership building ITCP was presented at various donor's round table meetings including the Environment and Natural Resources (ENR) Development Partners Group, the Thematic Group on Climate Change (TGCC) and the 5th Joint GoU/Development Partners' Review Workshop of the Water and Environment sector (2012/2013 FY) held from the 29th to 31st October 2013. Individuals from donors and other agencies expressed to TET that they like ITCP concept and also want to see Government of Uganda using it to expand in other areas of the country.

139. However, more focus was on linking the ITCP to the National Development Plan (NDP) and the draft CC policy, leaving out a number of legal/regulatory, policies and planning frameworks at the district and the national levels. There are other sector policies (e.g. National Agriculture Policy -2011, Uganda Forestry policy 2001) and plans (e.g. National Forest Plan-NFP 2011/12-2021/22 for forestry and The Development Strategy and Investment Plan - DSIP 2010/11-2014/15 for agriculture), that recognizes CC in their planning framework. These policies also need to be recognized in ITCP and also climate change in these policies need further strengthening.

All activities to achieve this outputs has achieved its all major objectives, without major shortcomings. The outputs can be presented as "good practice", hence is evaluated as **Highly Satisfactory**.

Output 4: Climate change policy and investment package developed.

140. To achieve this output following activities were conducted:

Feasibility study involved an in depth analysis of the investment options for sustainable, climate friendly and resilient development. Feasibility and design of carbon sequestration Project also conducted detailed analysis of policy and investment package for CC adaptation and mitigation which was included in the chapter 4 for investment options, chapter 5 for policy analysis and chapter 7 for investment package of the ITCP. Developments of various schemes which were developed based on the Plan Vivo system for communities of Mt. Elgon region was completed and was undergoing testing by ECOTRUST. Some of the important investment options identified in the ITCP were: sustainable intensification of annual crop production systems, climate resilient coffee production, researching and developing innovative climate resilient production systems, agroforestry, reducing fuel-wood consumption with improved cook stoves, reforestation and sustainable use of forest resources and biogas intensification.

141. By December 2013, applications of about 300 farmers' were approved to plant trees and of these 62 were qualified for the 1st payments. The combined Upland Afforestation/Reforestation (AR) with the coffee shade agro-forestry carbon finance project was registered in March 2013.

142. The **carbon finance scheme** had combined the benefits of voluntary emission reductions with rural livelihood improvement and this helped to reduce pressure on land based natural resources. An agreement was signed between Mbale District Local Government and ECOTRUST to include design and field testing of improved cook stove as a carbon management scheme.

143. A stakeholders meeting was held in December and local artisans were selected for training on the cladding of the stoves. 5000 stove liners have been procured that was under process of distribution/sale. A business model for the project had also been developed.

144. Carbon finance schemes were developed with a strong monitoring, verification and reporting framework. The activities were assessed by third party verifiers before payment was made to the beneficiaries. The tree project was verified in September 2013. Ecotrust and the district local governments had also instituted a monitoring mechanism to ensure that farmers deliver their obligations.

145. The three leaderships had not declared their contribution for continuation to TACC initiated activities by the time of evaluation. Hence this needs to be seriously followed in the next phase.

All activities to achieve this outputs has achieved its all major objectives, without major shortcomings. The outputs can be presented as "good practice", hence is evaluated as **Highly Satisfactory**.

Output 5: Lessons learned and best practices disseminated.

To achieve this output following activities were accomplished:

146. Project developed website for information sharing. All activities, research data, publications and lessons learned were included in the website. Project website was linked with the CC unit webpage so that all relevant government and non-government agencies could have access to it and their planning will be benefited with the information from these websites.

147 Project also supported two government experts to attend global climate change conferences (UNFCCC conference of Parties –COP18 and Africa Climate Change Forum). This provided forum to share achievements of the project to wide audience at the international level. Similarly, six government officers were provided support to participate in a knowledge sharing event between TACC Uganda and TACC Colombia in Bogota and Cambodia. Likewise, a team of 24 personnel including District leaders, technical staffs and farmers were taken to Kitale and Bungoma of Kenya in a study tour to observe Kenya carbon project under VI-Agroforestry organization.

148. Project also conducted several study tours for members of the community groups from Mt. Elgon for sharing experiences on adaptation and mitigation activities like bee keeping, technology transfer on renewable energy efficiency, soil and water conservation and tree planting. 23 bee farmers participated in a study tour in Kapichorwa (KADODA) an organization promoting bee farming and value addition. Similarly, four women from briquette making groups participated in a study tour to TEMDO-Tanzania Engineering and manufacturing Design Organization in Arusha that deal with briquette making and fabrication of briquette machines. 28 participants from NGOs, CBOs and district staff participated in a field visit of carbon finance projects run by "the Trees for Global Benefit" in Bushenyi-Uganda. Likewise, 24 district leaders and technical staff and farmers participated in a study tour to Kenya carbon project under VI-Agroforestry organization in Kitale and Bungoma in Kenya.

149. A knowledge management system was developed (www.tacc.ccu.go.ug) to help with storage of knowledge and knowledge product including climate data and cross cutting information for helping informed management and planning. Project conducted training for 13 district technical officers (Information officers, Natural Resources Officers, Environment Officers, Planners and Forestry officers) on 28 November 2013 to train them on using the knowledge management system. System needs regular updating in the future. The use of the knowledge management system in planning and policy formulation is yet to be seen.

150. Knowledge sharing was also done through radio programs and newspapers to wide audiences. Dissemination of knowledge through distribution of project reports was limited to donors, limited government officers and district leaders. Since the project website was developed at the latter part of the project and knowledge management was also initiated towards the end of the project, it is yet to see impact of these accomplishments. Project planned to develop audio-visual program based on the lessons learned from the program but due to time constraints could not accomplish.

The activities to achieve this output have achieved all its major objectives, without major shortcomings. The outputs can be presented as “good practice”, hence is evaluated as **Satisfactory**.

4. Conclusion, Lessons Learned & Recommendation

Conclusion

151. Uganda has been experiencing climate change impacts and in the Mbale region 77% of the population are farmers and are highly dependent on natural resources for every day's survivability and are vulnerable to climate change risks. The International Climate Risk Report also identified Uganda as one of the least prepared and most vulnerable countries in the world (CIGI 2007)⁵. Responding to these facts, Uganda has recently developed a National Climate Change Policy (NCCP) to adjust to and cope with the impacts of climate change (adaptation) and also the causes (mitigation). For successful implementation of the policy and making development climate friendly and sustainable, mainstreaming of climate change in development planning and policy formulation was needed. Weak knowledge and capacity among policy maker and development planner was barrier in this process. This project was developed in line of NCCP and also relevant to Uganda's environment and sustainable development objectives (articulated in NDP 011-015). The project is also in agreement with the Uganda's commitment to UNFCCC and other International agreements related to environment and conservation.

152. The Mainstreaming Climate Change Mitigation and Adaptation Project was well designed, and well- managed and implemented throughout. Despite difficulties in the beginning of the project, the team had managed to deliver a series of interventions that had significantly increased awareness from local level to policy/planner level, provided economic benefits, encouraged to plant and protect trees, encouraged in low carbon alternative energy options and improved livelihood of rural poor communities. The Project was underpinned by good science and a technical approach of the highest calibre throughout. It had incorporated climate change issues into the District level planning process in three pilot districts and improved the conservation situation by generating a local concern on the tree and environment.

153. Project had been able to accomplish all activities to meet the targeted results. Project established RCCF, developed ITCP which was the first such plan at the district level. Project was able to enhance awareness level and capacity of the policy makers and development planners. It was expected to influence development planning and thereby help to reduce climate change impacts from development activities making development climate friendly.

⁵CIGI (2007), International risk report, The Center for International Governance

Small grant program had showed very effective impact in the livelihood and also encouraged them in environment and biodiversity protection. These impacts will be sustainable as this had made farmers understand the value of the trees and ways it help to address climate change problem. The financial benefits linked to trees plantation not only helped to improve their health, child education and overall livelihood issues but also made them aware of linkage of plants with economic development and environment protection. This awareness is more important as it will have long term impact and contribute in sustainable adaptation and mitigation actions. Similarly, increased awareness among the policy makers and planners is also very important achievement of this project as this will also have long term impact in combating climate change problems by mainstreaming it through incorporating climate change in development planning. Increased tree plantation will increase carbon sequestration and alternative energy programs will help to reduce emission to the air. TET recommends expanding these successful activities in all other villages of these districts and also in other districts.

154. Project contributed in development of climate database, training manuals/materials and generated information from implementation of adaptation and mitigation programs. Since it is only tested in three pilot districts and adaptation activities in selected villages, it should be replicated in other villages within the district and also other districts of the country. Lessons learned from this project will be valuable assets to expand such activities at the national level covering all areas of the country.

155. Though project was successful in achieving its target, there were few practical problems which need to be considered in the future project implementation. The monitoring at field level from few CBO, PMU and District Local Government was weak which need to be improved in the future projects. Technical assistance was good in the program implemented by the local NGO but those directly implemented by the project management and which were supposed to receive technical support from the DLG were not able to get sufficient technical assistance.

156. Project had established a forum (RCCF) to discuss climate change issues at the regional level and this provided three districts to share knowledge, improve cooperation and coordination, discuss issues and even make joint effort to address causes of climate change. Effort is needed to provide legal base for RCCF so it become permanent structure. Also coordination and financing of RCCF and ICTP need to be arranged.

Ratings

As per UNDP and GEF TE guidelines, the TE ratings are consolidated in Table13 below.

Table13. Terminal Evaluation's Rating Project Performance		
Criteria	Comments	TE Rating
Monitoring and Evaluation: Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall quality of M&E	(rate 6 pt. scale)	S
M&E design at project start up	(rate 6 pt. scale)	S
M&E Plan Implementation	(rate 6 pt. scale)	S
IA & EA Execution: Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU),Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall Quality of Project Implementation/Execution	(rate 6 pt. scale)	S
Implementing Agency Execution	(rate 6 pt. scale)	S
Executing Agency Execution	(rate 6 pt. scale)	S
Outcomes: Highly Satisfactory (HS), Satisfactory (S) Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall Quality of Project Outcomes	(rate 6 pt. scale)	HS
Relevance: relevant (R) or not relevant (NR)	(rate 2pt. scale)	R
Effectiveness	(rate 6 pt. scale)	HS
Efficiency	(rate 6 pt. scale)	HS

Sustainability: Likely (L); Moderately Likely (ML); Moderately Unlikely (MU); Unlikely (U)		
Overall likelihood of Sustainability	(rate 4pt. scale)	L
Financial resources	(rate 4pt. scale)	L
Socio-economic	(rate 4pt. scale)	L
Institutional framework and governance	(rate 4pt. scale)	L
Environmental	(rate 4pt. scale)	L
Impact: Significant (S), Minimal (M), Negligible (N)		
Environmental Status Improvement	(rate 3 pt. scale)	S
Environmental Stress Reduction	(rate 3 pt. scale)	S
Progress towards stress/status change	(rate 3 pt. scale)	S
Overall Project Results	(rate 6 pt. scale)	HS

Lessons Learned

157. Discussion and key points for the future projects have been added in this section. Some of the lessons learned given below have arisen from discussions with persons interviewed during the evaluation and the TET thanks them for their insights.

Design

- Designing a project linking various institutions from grassroots level institutions, government agencies, local authorities and private sector generates huge benefits for sustainability, and through the synergies developed provides the intervention with much greater effectiveness than that which can be achieved by stand-alone projects.
- Community involvement is vital for sustainable community-based natural resource management projects as they are the one who has to manage these resources beyond the project life. Similarly, involving local trainers are effective to make community understand technical things in easy manner and using them is also cost effective.

Strategic

- Communities or even CBOs lack knowledge on impact of climate change and potential economic benefits linked to conservation of trees. Hence generating awareness on these will help to provide economic incentives to communities and thereby generate their support for conservation of trees and environment which will help to address climate change issues of the global concern.
- Direct economic benefits to local communities make excellent incentives to achieve conservation goal that contributes in addressing vulnerability to climate change and reduce emission and increase sequestration. In this project also linking financial incentives to agro-forestry and tree plantation encouraged farmers to conserve tree. Coffee and fruit agro-forestry activities from this project also helped to utilize waste lands and steep lands that were not so productive and/or in use for grazing were utilized to provide more benefit than before. Farmers were also received environment benefit like soil erosion and landslide control.
- Improved technology could save a lot of energy and contribute to reduce emission to atmosphere and decrease pressure on forest. In this project also introduction of Lorena stove proved to save 80% energy compare to traditional three stone stove. Similarly, biogas and bio-briquette also helped to decrease use of firewood.
- Market demand encourage plantation of trees and protect seedlings. Generally, it was observed in some projects that when there is not market demand for product of any tree species then there will not be much interest among farmers to plant them. In such situation, when seedlings are provided to villagers free of cost, they don't pay much interest to plant them or protect them and in some cases even they were found throwing or feeding seedlings to livestock. But in this project farmers were planting every saplings of the tree that they received from the project free of cost and also taking care of them. High market value linked to either fruits or timber from that species were the reasons for the farmers' attraction.
- Use of local resource help to make activity independent for raw materials and that make it sustainable. The alternative energy programs were using local raw material in construction of bio digester, briquette making and in improved stove. Hence their activities never faced shortage of raw materials. This also made such activities self-reliant in raw material and that make such initiatives sustainable.

- Selection of plant species in agro-forestry is important because it help to integrate multiple benefits. The species of tree selected for agro-forestry in this project were not only of high market value but also locally suitable so it helped to provide economic benefits and several environmental benefits (landslide/erosion control, sequestration of carbon from air and clean air for breathing). Selection of species is also important for the success of plantation. Selection of *Maesopsis*(*Masopsis**seminee*) was not suitable for high region of the project sites where many of them were observed dying. This is tropical species and is only good for lower part of the country.
- Involving men in women's group help to provide security and avoid disputes among women. Generally, it used be believed that women want groups without men but here they felt need of men to avoid conflict among women members and to maintain cordial working environment. But from this, it could also be learned that involving women in men's group could also help to buffer disputes and fights in men's group.
- Institution like schools could also be mobilized in forestry or livelihood activities and this will help school to generate finances and also provide environmental benefits. Project has supported some schools and it is expected that this will help to provide economic benefits to bear management cost of the school and creation of forests or trees in agro-forestry will help to address environmental issues while at the same time build knowledge and skills in the future generations on how to earn from a well protected and sustainably managed environment.
- Knowledge on various benefits of tree help farmers understand its value and encourage to plant and protect trees. In this project also farmers were taught on climate change issues and role of tree in addressing climate change and local environment issues like landslides and erosion helped them to understand it value and encouraged them to plant trees and protect them. The awareness raising will makes it sustainable and in this project also they expressed their interested to continue even beyond the project life.
- Involving Districts leaders and bureaucrats in project forum like ITCP and RCCF and enhancing their knowledge through training helped to get their support. This also helped to address risk of uncertainty related to political transitions.

Project Management

- Implementing project through NGO and CBOs helped to work closely with the communities and also convince them easily and that resulted in successful implementation of project activities with encouraging results. But selection of such organisation has to be done carefully as the success of the project depends on them. NGO and CBOs involvement also strengthen project with their technical knowledge and experience. That also ensured technical sustainability of the project. The NGO and CBOs selected by the project were experienced hence they were able to interact with communities efficiently and able to convince them and it was admired by the locals. Their experience and technical strength also helped to implement project activities successfully with encouraging results.
- More than the size of the budget, selection of activities and implementation are most important to produce effective results. The small grant program has proved that with a small amount of money also effective work that were not even achieved by project with big budget is possible to achieve. The selection of activities and efficiency in implementation determines the success.
- Project success is also connected with the management transparency and this also generates wide appreciation. From hiring of the project manager and implementation process of the project, transparency was maintained and due to that no one had acerbity against the project and was admired by every ones. With the help from every one the project was able to produce desired results. There are several examples from different projects where due to interference from political person or others, in recruitment of staffs, selection of NGOs/CBOs and other management activities, projects were affected and were unable to produce desired results.

Recommendations

158. Based on the analysis of this project, recommendations useful for strengthening design, implementation and monitoring are listed in paragraph 159 and recommendation related to reinforce results of this project are listed in paragraph 160. Similarly, recommendation for future projects in paragraph 161 and best and worst practices of this project in paragraph 162. These recommendations will be very useful for the second phase design, implementation and monitoring or implementation of ITCP. Some alternatives related to private sector support for activities of second phase or ITCP described in Annex XIII.

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

- It was well designed and made even better while revising at the inception phase. Based on lessons learned from the implementation of first phase several suggestion in design, implementation and monitoring is suggested below:

Design

- This project only identified poor and women as target group. It is recommended to identify all vulnerable communities (including women, poor, youth, the elderly, widow/widower and HIV+ persons) in the expected second phase (or any similar future project) design as the target group because they are also vulnerable to CC.

Implementation

- Project demonstrated very encouraging results of addressing root causes of climate change. It is recommended to scale up and replicate lessons from this project to other districts of Uganda. But as different districts of Uganda have different socio-economic, geographic and climate change impact situation, before replicating programs to other districts local situation need to be studied and accordingly adjustment should be made. Continue sensitization of district leaders involving one that were not involved in awareness activities of the first phase on the role of carbon projects and social safeguards. Involve these leaders in the design and approval of the projects to avoid contradictory messages to the public. Sensitization of local leaders and involving leaders in project committees also help to save project in political unstable situations.
- NAADS and District Extension Services are regular activities from the government side in the field to support farmers. Project could have built linkage with them to support extension program for facilitating implementation, provide technical support to farmers and improve monitoring. Hence it is recommended to link the second phase (or future project) with District extension services to integrate CC adaptation. Such linkage also ensures complementarities and synergies between different project and TACC programs and help to disseminate project lessons.
- It is recommended to strengthen technical and management aspects of the small grant programs or of the ITCP. For example while designing the program study should be conducted to identifying appropriate programs, to identify appropriate species for plantation and land available for plantation and number of animal with household to supply dung for biogas plant. Lessons learned from watershed management projects in Uganda could also be very useful in future designing, implementation and strengthening technical and management aspects of the programs. These studies (research) and data collection could be carried out involving Universities to generate information cost effectively and also support university's effort to educate students in climate change and research methods. Likewise, field based technical assistance is needed to improve quality of activities, e.g. improving quality of bee hives, increase farmers knowledge to improve plantation and management of tree seedlings and provide assistance to develop management strategy for discouraging free riders. Similarly, awareness program should use appropriate approach that will be more effective e.g. to convince rural communities on advantage of improved stoves rather than just saying quantity of firewood saving it should be explained in monetary value.

Monitoring

- Monitoring and feedback mechanism is very important for strengthening project implementation. Hence, the expected second phase (or future projects) should include a detail monitoring program for all level of implementing and executing institutions with clear reporting mechanism, method and schedule.
- Adaptive management was adopted at the central level but there was lack of such practices at the field level. Hence the future projects and also ITCP implementation, there should be provision of field level monitoring and evaluation of activities with mechanism of providing corrective measures on the spot.

160. Actions to follow up or reinforce initial benefits from the project

- The project should prepare project briefs for marketing phase two of the project, as instructed by the Project Board. UNDP together with the government conduct interaction with donors for generating support for the second phase of this project or implementation of ITCP.
- This project has generated information on the climate status and trend. Knowledge management system developed by this project need to be managed with updated information so that large audiences including planners, researchers and development workers will be benefited. Relevant government department have to take responsibility to manage Knowledge management system. To arrange information feeding mechanism to the Knowledge base, MWE should coordinate with the Universities to include relevant research in the universities' regular research plan and use information from them to update knowledge base.
- TACC has established structures (forum) like ITCP and RCCF but they don't have any legal ground. To make it sustainable it has to be a legally backed permanent structure. There are policy gaps for establishing such structure in existing climate policies and development of bylaws and ordinances to support such structure will require much time. Alternative immediate solution is legalizing under the Local Government Act (Cap. 243; Part II Section 8: in accordance with article 178 of the Constitution), which states that districts may cooperate in the areas of culture and development and establish a council or secretariat to manage joint interests. Since the Ministry of Local Government is also involved in the project board, UNDP should follow up with the Ministry for legalizing these structures under Local Government Act. Similarly, end of the TACC project will create gap in coordination and financing as these were till now managed by the project. Various individual suggested CC Unit of MWE for coordination responsibility but the mandate of the CC Unit is to coordinate at the national level but not at district or regional level activities. Hence, it will be appropriate if each district in rotation takes responsibility and climate change focal point officer of each district take coordination responsibility. Similarly, UNDP CO in the project property handover document (to the Local government) should include clause of coordination and financing for continuation of activities of RCCF and ITCP. In the latter in the future, when such structures are formed in all regions of the country (covering all districts) then a national level structures like National CC Forum (NCCF) and a National Integrated Territorial Climate Plan (NITCP) will be needed to conduct these function at national level CC Unit of MWE. Various donors expressed their interest to support operation cost of RCCF and ITCP, UNDP should continue coordination/communication with them to generate support. But for long run, UNDP need to lobby/communicate with the central and the local governments for arranging regular budget.

161. Proposals for future directions underlining main objectives

- If the central government will not allocate budget for the ITCP activities then it could not be implemented. Hence, UNDP with the help of the MWE and MoLG should lobby to make central government recognize importance of Climate Change Action Plan so that they will allocate budget for such activities and also direct the District government in the same line. Similarly, UNDP should also help to gather District governments in one place to make a common agenda to submit to the central government for requesting budget for implementing ITCP. As implementation of ITCP requires a lot of money, UNDP together with government representation need to initiate communication with different development partners for outsourcing funding. DANIDA has also mentioned that their future support will be in mainstreaming climate change. Similarly, DFID expressed their interest in capacity enhancement of local government. UNDP should coordinate with these development partners for supporting mainstreaming climate change and capacity enhancement of District Local Government.
- Some of the activities of ITCP could also be implemented in large scale by involving private sector. For that, dialogue should be initiated with them to make them aware on opportunity in forestry, agro-forestry, improved stoves, alternative energy and other income generation activities. Such interaction will also help to identify policy barrier that has been obstructing private sector involvement in promoting such activities. Some innovative ways for private sector led financing for ITCP implementation at the community/group level are described in Annex XVIII.

- This project has been successfully piloted in three districts of Mbale region. But to achieve goal of decreasing climate change effects and improving resilience, it need to be expanded to wider level i.e. national level. Hence, the lessons learned from this project should be utilised to implement such activities in other districts also so that it could be expanded at the national level. UNDP should help CCU to develop strategies that help to disseminate the TACC lessons at national level and to other districts. This will help to influence district government's development activities and replicate successful activities of this project in other districts.
- The National Development Plan of Uganda will end this year so by the end of this year government will come up with new Development Plan. UNDP has been facilitating National Development Plan preparation process for the government of Uganda. UNDP should lobby for influencing planning with lessons from TACC project for mainstreaming climate change in development activities. Moreover, TACC success is widely appreciated and MWE and MLoD from their association with this project have witnessed these from very close, they should also make effort in mainstreaming climate change.
- Due to time constraints this project was not able to develop bylaws and ordinances to support effective implementation of adaptation and mitigation and mainstream it in national development. It is recommended that the second phase of the project should give priority to bylaws and ordinance development.

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

Best Practices

- Engaging with leaders including District Councils to get buy-in at political level rather than relying solely on district technical staff to feed information up through Technical Planning Committees.
- Project presentations to joint meetings of the 3 District Councils were much appreciated. Project buy in into districts has been demonstrated by representation by the CAOs, District Local Government Technical staffs and Chairpersons of LCVs on TACC bodies such as the ITCP Steering Committee and RCCF.
- Implementation through established CBOs, most of whom have alternative funding sources identified and a vision for their organization post-project has been successful.
- There was good application of technical know-how not available to the districts and good targeting of climate analysis to the needs of the districts.
- Dissemination of the results of climate analysis, which were used by NGOs to strengthen their proposals and generate funds for new projects/activities.

Worse Practices

- Districts officers were not mainstreaming CC in their planning (except few in production and natural resource department/sectors) which indicates that they are not aware of their mandate for mainstreaming CC which is outlined in the NDP.
- Project didn't have strategic plan for raising awareness at the beginning of the implementation of the project activities. Partners experience could be used to implement awareness activities followed by other activities of the project.
- Delays in procurement has caused constraints in the management and also delayed activities at the ground. Hence, long procurement provision need to be revised to make it fast. Delays have compressed activities into a short period at the end of the project and such could affect the quality of the achievements.

Annex I : Terms of Reference for Terminal Evaluation

Title	Individual Consultant (International) - For Terminal Evaluation of the Territorial Approach to the Climate Change Project in Mbale Region
duty station	Kampala, Uganda
Languages required	English
Closing date	October 24, 2013
Tentative starting date	October 29, 2013
Expected duration of assignment	25 Working days
Type of consultancy	International consultant

1.0 BACKGROUND

The Territorial Approach to Climate Change (TACC) project for the Mbale region of Uganda is being implemented by Mbale District Local Government on behalf of the three Districts of Mbale, Manafwa and Bududa and benefits from financial support provided by the Danish Embassy (US\$ 270,000), DFID (US\$ 450,000 equivalent of 300,000 Pounds) and UNDP (US\$ 300,000), as well as from technical and development support provided by the Welsh Assembly Government. This is a pilot project for the United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP) Global Initiative, “Down to Earth: Territorial Approach to Climate Change”. The project will provide a coordinated mitigation and adaptation plan to combat the deleterious impacts of climate change in three districts (Mbale, Manafwa and Bududa) of Mbale region of Uganda. The project was designed for 2 years with a start date of August 2010 (when the Project Documents were signed) and initial end date of June 2012. The project was granted a 1 year No Cost extension up to June 2013.

The project was designed to: provide a coordinated mitigation and adaptation plan to combat the deleterious impacts of climate change in three districts of Mbale, Manafwa and Bududa within Mbale region of Uganda. The project will help to enable the Mbale region realize low carbon and climate change resilient development. Towards this objective, the project will assist the region to develop their Integrated Territorial Climate Plan (ITCP), which will integrate climate change adaptation and mitigation strategies into regional development planning. This will include developing a policy and investment plan that will identify appropriate regulatory and financial instruments for the implementation of the actions that have been selected by the ITCP and assist the region to access, combine and sequence a variety of financial resources needed to implement the ITCP.

The project outputs include: (i) a platform for climate change planning and programming; (ii) capacity built to integrate climate change issues into regional development plans and actions; (iii) an Integrated Territorial Climate Plan (ITCP) for the Mbale region; (iv) a climate change policy and investment package formulated; and (v) synthesized and disseminated (within and beyond Uganda) of lessons learned and best practices.

The project will help to enable the Mbale region realize low carbon and climate change resilient development. Towards this objective, the project will assist the region to develop their Integrated Territorial Climate Plan (ITCP), which will integrate climate change adaptation and mitigation strategies into regional development planning. This will include developing a policy and investment plan that will identify appropriate regulatory and financial instruments for the implementation of the actions that have been selected by the ITCP and assist the region to access, combine and sequence a variety of financial resources needed to implement the ITCP.

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

Objective of the Assignment

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

Evaluations for UNDP supported projects have the following complementary purposes: (i) to promote accountability and transparency, and to assess and disclose the extent of project accomplishments, (ii) to synthesize lessons that can help to improve the selection, design and implementation of future UNDP activities, (iii) to provide feedback on issues that are recurrent across the UNDP portfolio and need attention, and on improvements regarding previously identified issues, (iv) to contribute to the overall assessment of results in achieving GEF strategic objectives aimed at global environmental benefit, and (v) to gauge the extent of project convergence with other UN and UNDP priorities, including harmonization with other UN Development Assistance Framework (UNDAF) and UNDP Country Programme Action Plan (CPAP) outcomes and outputs

Scope of work and deliverables

eg... the assignment will focus on Terminal Evaluation of the Territorial Approach to Climate Change project specifically review of project documentation, key stakeholder consultations/ field visits to project beneficiaries and reporting

The Consultant will deliver on the following:

- a) The International Consultant will act as Team Leader during this assignment and he/she will have overall responsibility for the work and operation of the evaluation team, including the coordination of inputs from the National Consultant and other related stakeholders. The Team Leader will be responsible and fully accountable for the production of the agreed products;
- b) Review of documentation to be provided by the project (implementation/evaluation reports);
- c) Conduct fieldwork together with the National Consultant and interview Stakeholders, National and Local Government Officials, and Communities (especially project beneficiaries) to generate authentic information and opinions;
- d) Write and compile information and reports as needed;
- e) Presentation of key findings, highlighting achievements and constraints, and making practical recommendations to decision makers and stakeholders;
- f) Prepare final Terminal Evaluation Report.

Expected Outputs and Deliverables

Deliverables / Outputs	Estimated Duration to Complete	Target Due Dates	Review and Approvals Required
Desk review of relevant documents, travel and presentation of Inception Report	5 days	November 4, 2013	Team Leader Energy and Environment
Carry out field work	6 days	November 12, 2013	Team Leader Energy and Environment
Compile and hold field discussion with key project stakeholders on key findings highlighting achievements, constraints and make practical recommendations	4 days	November 18, 2013	Team Leader Energy and Environment
Prepare and submit draft reports to UNDP for review	4 days	November 22, 2013	Team Leader Energy and Environment

Presentation of draft reports to a national stakeholders workshop to validate draft report findings	1	November 25, 2013	Team Leader Energy and Environment
Incorporate comments of validation workshop and submit final TE report to UNDP	5 days	December 2, 2013	Team Leader Energy and Environment

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 Territorial Approach to Climate Change, 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 Mbale, Manafwa and Bududa as well as relevant Central Government Ministries, Departments and Agencies

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 (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 25 working days staggered between **October 29, 2013 and December 2, 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

- Advanced degree in natural resources/ forest management, Climate change adaptation/ mitigation, protected area management, socio-economic development or related fields;
- At least 10 years experience in natural resources/ forest management, Climate change adaptation/ mitigation, protected area management, socio-economic development or related fields;
- Familiarity with integrated conservation 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 CSOs/community development processes, experience in landscape management and the design of ecological corridors, 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 global benefits is essential;
- Demonstrated ability to assess complex situations in order to analyze critical issues succinctly and clearly and draw forward-looking conclusions;
- Experience in leading small multi-disciplinary, multi-national teams to deliver quality products in high stress, short deadline situations;
- Previous experience with results-based monitoring and evaluation methodologies;
- Technical knowledge in the carbon finance schemes both voluntary and compliance carbon standard.

ADDITIONAL COMPETENCIES

- Excellent English writing and communication skills;
- Excellent Analytical Skills;
- Positive, constructive attitude towards work;
- Ability to act professionally and flexibly to engage with government officials, donor representatives, and local communities.

Price Proposal and schedule of payments

Payment to the Consultant will be made in three installments upon satisfactory completion of the following deliverables;

- 30% of the contract amount upon submission of an acceptable inception report;
- 30% of the contract amount upon submission, presentation and approval of draft report;
- 40% of contract amount upon submission, presentation and approval of final terminal evaluation report.

DUTIES AND RESPONSIBILITIES

EVALUATION APPROACH AND METHOD

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.

An overall approach and method for conducting project terminal evaluations of UNDP supported GEF financed projects have developed over time. The Consultants are expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported. 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 an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, the UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders including DFID and DANIDA who partly funded the TACC project. The evaluator is expected to conduct a field mission to Mbale Region including the following project sites in Mbale, Manafwa and Bududa Districts. Interviews will be held with the following organizations and individuals at a minimum: The TACC Project Board, TACC ITCP Steering Committee, Regional Climate Change Forum, TACC Small grants beneficiaries, Ecotrust and Representatives of the District Technical and Political leadership in the 3 districts mentioned above.

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

- UNDP (Project Manager, Technical Advisor, relevant Country Office and Regional staff) / and Global TACC staff who have project responsibilities;
- Members of the Project Board
- Project Focal Points at DANIDA and DFID;
- Implementing partners (e.g. ECOTRUST);
- Project stakeholders, particularly local partners and project beneficiaries for example Communities benefiting from the TACC Small Grants Scheme;
- Relevant staff in participating government departments.

Field visits: Will be arranged with project beneficiaries

The Lead Consultant should present a detailed statement of evaluation.

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

EVALUATION CRITERIA & RATINGS

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see Annex A), 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.

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

PROJECT FINANCE / COFINANCE

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

Co-financing (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Actual	Actual
Grants								
Loans/Concessions								
• In-kind support								
• Other								
Totals								

IMPACT

The Lead Consultant will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has (a) Assisted Mbale Region of Uganda to realize low carbon and climate resilient development; (b) Assisted Mbale Region to develop an Integrated Territorial Climate Plan fully integrating CCA & M strategies into their regional development planning, develop a policy and investment plan that will identify appropriate regulatory and financial instruments for the implementation of the actions that have been selected by the ITCP. (c) assisted Mbale region to address priorities identified in Uganda's National Adaptation Programme of Action and (d) enabled Mbale to serve as a pilot for scaling up to other regions with Uganda for scaling up to other regions with Uganda for this holistic territorial approach to address Climate Change.

CONCLUSIONS, RECOMMENDATIONS & LESSONS

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

IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP CO in Uganda. The UNDP CO will contract the Consultant(s) and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Implementing Partner will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc. The planning and the administrative arrangements for the TE will be done in collaboration with the UNDP Head Quarters

Reporting Arrangements

The consultants will report to the UNDP Country Director in Kampala, Uganda on all technical and contractual obligations.

EVALUATION TIMEFRAME

The total duration of the evaluation will be 25 days according to the following plan:

Activity	Timing	Completion Date
Deliverables / Outputs	Estimated Duration to Complete	Target Due Dates
Desk review of relevant documents, travel and presentation of Inception Report	5 days	November 4, 2013
Carry out field work	6 days	November 12, 2013
Compile and hold field discussion with key project stakeholders on key findings highlighting achievements, constraints and make practical recommendations	4 days	November 18, 2013
Prepare and submit draft reports to UNDP for review	4 days	November 22, 2013
Presentation of draft reports to a national stakeholders workshop to validate draft report findings	1	November 25, 2013
Incorporate comments of validation workshop and submit final TE report to UNDP	5 days	December 2, 2013

EVALUATION DELIVERABLES

Products Expected from the Evaluation

- An Inception Report (within 4 working days of signing the contract), this should provide details of the methodological approach to be used by the consultants to undertake the study.
- A field report with the main findings and practical recommendations will also be provided.
- A draft of the Mid-Term Evaluation Report and the PowerPoint presentation should be submitted within one week of the end of data collection and meetings. The final copy will be submitted within a week of receiving written comments on the drafts from UNDP and partners.
- 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
- A Terminal Evaluation Report of approximately 30 pages, excluding annexes, according to the attached detailed breakdown. The report will be in English and will be prepared and submitted in MS Word, with tables in Excel where necessary.

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'](#)

PRICE PROPOSAL AND SCHEDULE OF PAYMENTS

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) For duty travels UN’s Daily Subsistence Allowance (DSA) rates prevailing at the time of sourcing, for the duty station and all other cities indicated in the TOR as part of duty travel destinations will be used. This will give offerors an indication of the cost of living in a duty station/destination, to aid their determination of the appropriate fees and financial proposal amount, but it does not imply that Offerors are entitled to DSA payment; and
- iv) The initial payment includes the actual cost of the IC’s travel to arrive at the designated Duty Station. This implies that the completion of the journey can be considered as one of the deliverables payable upon arrival.

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 70 points

- Relevance of Education – 5 points
- Special skills, Language.- 5 Points
- relevance of experience –30 points
- Description of approach/methodology to assignment – 30 Points

DOCUMENTS TO BE INCLUDED WHEN SUBMITTING THE PROPOSALS.

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

- 1) Duly accomplished **Letter of Confirmation of Interest and Availability** using the template provided by UNDP (Annex H).
- 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 I)
- 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.

ANNEXES H and I are to be downloaded from UNDP Uganda Website, procurement notices section: www.undp.or.ug:

This TOR is approved by:

Signature _____

Name and Designation Onesimus Muhwezi – UNDP Team Leader Energy and Environment

Date of Signing _____

ANNEX A: PROJECT LOGICAL FRAMEWORK

Intended Outputs	Indicators	Baseline	Targets	Indicative Activities	Timeframe		Inputs	Budget , USD	
								Year 1	Year 2
1. Partnership, coordination and participation platform for climate change planning and programming established.	Stakeholder engagement and participation platform established.	<p>Mbale Coalition Against Poverty established in 2006 to address poverty issues in general; paired environmental and carbon offsetting committees exist, although with low capacity at present.</p> <p>Ongoing partnership between Mbale region and the WAG</p> <p>National Climate Change Committee established for intersect oral coordination but still at its infancy with very limited capacity</p> <p>Climate change focal points are in place</p>	<p>ITCP steering committee in place by June 2011</p> <p>Regional Climate Change Forum established and functional by June 2011</p>	<p>1.1 Establishment of the ITCP Steering Committee with TORs</p> <p>1.2 Establishment of Mbale Region Climate Change Forum with TORs</p> <p>1.3 Establishment of working groups with TORs</p> <p>1.4 Establishment of a work plan</p>	Y1	Y2	PMU inputs	63,025	
	Communication Strategy developed	No communication strategy exists	An effective communication strategy in place by June 2011	1.5 Carry out stakeholder analysis and development of stakeholder strategy	Y1		PMU inputs		
2. Capacity to integrate climate change issues into regional development plans and actions built.	CC Small Grants Scheme in Mbale operational	<p>Mbale CAP Tree planting Project-One Million Trees funded by Waterloo Foundation established in August 2010 and has been running for the last six months. Only three NGOs</p>	<p>CC Small Grants Scheme established and functional by Dec 2011</p> <p>8 proposals awarded and implemented under the CC Small Grants Scheme by</p>	<p>2.1 Establishment of the climate change small grants scheme</p> <p>2.2 Disbursement of small grants to qualified applicants and quality</p>	Y1	Y2	<p>PMU inputs</p> <p>International inputs</p> <p>WAG inputs</p>	47,608	182,392

Intended Outputs	Indicators	Baseline	Targets	Indicative Activities	Timeframe		Inputs	Budget , USD	
								Year 1	Year 2
		have accessed funding. Coverage is still very small.	Dec 2012	assurance of the awarded activities			Local and international experts		
	# of communities benefited from activities supported by the Small Grants Scheme for CC M/A related activities	Limited number of communities are befitting from the Waterloo funded projects	At least 8 communities/ groups benefiting by end of 2012	2.3 Capacity needs assessment towards low carbon and climate change resilient development					
	# of local communities and decision makers benefited from CC awareness raising activities	Awareness raising activities on tree planting conducted at schools nation-wide as well as for parliamentarians by NGOs.	200 people benefit (representatives of Local Government councils, Technical Staff, CSOs, RDCs, community members)	2.4 Development of a capacity development plan to be incorporated into the ITCP and policy and investment package 2.5 Development and implementation of limited training and awareness creation for decision makers and general public on CC risks and opportunities 2.6 Evaluation of training activities conducted to improve the quality of training					
	Capacity Development Action Plan developed	No systematic capacity needs assessment conducted for the low carbon and climate resilient development. Capacity needs, existing capacity, capacity gaps are all unknown.	Required capacity identified and prioritized by September 2011 Capacity Development Action Plan developed by December 2011 Capacity Development activities initiated by						

Intended Outputs	Indicators	Baseline	Targets	Indicative Activities	Timeframe		Inputs	Budget , USD	
								Year 1	Year 2
			March 2012						
3. Integrated Territorial Climate Plan (ITCP) formulated.	Climate Profile of the Mbale region developed	First National Communication was submitted to UNFCCC, which includes GHG emissions mapping and sector analysis at the National level. NAPA developed and identified priority adaptation actions at the national level, but not implemented. No climate forecasting model downscaled to the Mbale region	GHG emissions analysis, sector analysis and the inventory of regional development priorities conducted by July 2011 Climate forecasting downscaled to Mable region by September 2011 Risk and vulnerability assessment conducted by September 2011 Climate Profile compiled by September 2011	3.1 Development of the Climate Profile the region based on: Inventory of regional development priorities and initiatives to establish the base line Development/ identification of localized climate change forecasting Risk and vulnerability assessment and creation of vulnerability maps	Y1		PMU inputs International Experts Local experts WAG input Global Programme inputs including CLIMSAT	42,200	207,800
	Climate Change mitigation and adaptation options identified and analyzed	NAPA developed and identified priority adaptation actions at the national level, but not implemented.	Low carbon development as well as adaptation options and opportunities identified by March 2012 Options analyzed and compared through a social –economic analyses and prioritized by June 2012 Potential synergies and trade-offs between options analyzed by June 2012	- Local carbon budgeting based on the GHG emissions and energy needs assessment 3.2 Climate change mitigations and adaptation options analysis, based on: -identification of low-carbon development and adaptation options and opportunities -Economic analyses and comparison of options and opportunities -Identification of priority adaptation and mitigation	Y1				
	Integrated Territorial Climate Plan developed.	No ITCP in place	Draft Integrated Territorial Climate Plan for Mbale region formulated by June 2012		Y1	Y2			

Intended Outputs	Indicators	Baseline	Targets	Indicative Activities	Timeframe	Inputs	Budget , USD	
							Year 1	Year 2
			<p>Further extensive consultations made on Draft ITCP by Sept 2011</p> <p>ITCP formulated and endorsed by December 2012</p> <p>Implementation modality for the ITCP identified by Dec 2012</p> <p>ITCP operational by March 2013</p>	<p>options and opportunities</p> <p>-Analysis of potential synergies and trade-offs between priority adaptation and mitigation measures</p> <p>3.3 Development of the Climate change action Plan based on:</p> <p>-Institutional, governance and financial analysis to implement actions related to climate change mitigation and adaptation</p> <p>-Prioritization of adaptation and mitigation options (in the order of no regret, negative cost, no cost and low cost)</p> <p>-capacity needs assessment (from output 2)</p> <p>-Policy and investment plan</p> <p>-Identification of the implementation arrangements and the development of M &E framework</p> <p>3.4Formulation of the integrated Territorial Plan based on the above</p>				

Intended Outputs	Indicators	Baseline	Targets	Indicative Activities	Timeframe		Inputs	Budget , USD	
								Year 1	Year 2
				3.5 Endorsement of the ITCP					
4. Climate change policy and investment package developed.	Pre-)feasibility study conducted for priority project ideas	<p>No CDM or Voluntary Carbon projects developed so far in the Mbale region.</p> <p>Some work by UWA through FACE on voluntary carbon opportunities.</p> <p>No feasibility study conducted for possibility of CDM p region.</p>	<p>Pre-feasibility studies for priority project ideas conducted by Dec 2011</p> <p>Based on these, at least three (3) project concepts developed and submitted to access appropriate carbon markets by March 2012</p>	<p>4.1 Conduct pre-feasibility studies for priority project ideas</p> <p>4.2 Development of a list of climate change project ideas, including the identification of project – level emissions mitigation and/ or sequestration activities</p> <p>4.3 Identification of options for the introduction of legal and financial instruments to address climate change</p> <p>4.4 Identification of potential sources of funding for the project</p> <p>4.5 Preparation of project proposals and submission to donors, carbon financiers and other relevant parties</p> <p>4.6 Undertake project concept marketing and partnership building</p>	Y1	Y2	<p>PMU inputs</p> <p>International Experts</p> <p>Local experts</p> <p>WAG input</p> <p>Global Programme inputs including CLIMSAT</p>	128,317	151,683
	Investment Package developed to mobilize resources for the ITCP implementation	<p>No climate change mitigation or adaptation projects proposal developed in Mbale Region.</p> <p>Some small scale projects to promote fuel efficient cook stoves exist, but not systematically promoted to link them to the low-carbon regional development.</p>	<p>A set of climate change project ideas identified and prioritized based on the ITCP by March 2013</p> <p>At least 5 project proposals developed from project ideas by June 2013</p>						
	Policy reform options identified to direct investments towards low carbon and climate resilient	<p>No climate change policy exists yet.</p> <p>Few policies incorporate climate change considerations.</p>	<p>At least 5 policy reform options (legal and financial instruments) to address climate and /or to direct investment identified</p>						

Intended Outputs	Indicators	Baseline	Targets	Indicative Activities	Timeframe	Inputs	Budget , USD	
							Year 1	Year 2
	development	Policy consistencies are not assessed between sectors to achieve low carbon and climate resilient society.	through consultation with industry and the public sector by march 2013 At least 3 policy reform options identified to mainstream climate change considerations into development planning tools (NAADS report, PEAP etc.) by March 2013					
	Financial resources secured for the implementation of the ITCP by marketing the investment package through networks, partnerships, and to various carbon markets	No CDM or voluntary carbon projects developed so far in Mbale region	Donor consultation held by March 2013 Financing for at least three climate change initiatives secured for implementation by June 2013					
5. Lessons learned and best practices disseminated	Knowledge Management system developed. Knowledge products produced for specific audience and disseminated	No knowledge management system exists, but some efforts in knowledge sharing, environmental education, awareness raising on climate change issues supported by various partners.	A project website established for information sharing and reported on during the June 2011 Knowledge management system in place and operational September 2011 At least 3 lessons learned produced from the project and shared on website by end of year 2 and disseminated through networks within and	5.1 Development of a knowledge management system to capture lessons learned and to promote project results and replications 5.2 Establish project website and web-based discussions and dissemination of information and lessons learned 5.3 Knowledge products produced to targeted	Y1 Y2	PMU inputs	11,350	19,650

Intended Outputs	Indicators	Baseline	Targets	Indicative Activities	Timeframe		Inputs	Budget , USD	
								Year 1	Year 2
			outside of	audience in appropriate languages and disseminated according to the communication strategy					
Project management	Project Governance framework established and operational.	No project governance structure exists	PMU and Project governance framework established and functional by March 2011		Y1	Y2		115,732	33,268
Total project budget								408,232	591,768

ANNEX B: LIST OF DOCUMENTS TO BE REVIEWED BY THE EVALUATORS

- Mbale TACC Project Document
- Project Annual Reports (2011, 2012, Draft 2013)
- Progress reports
- Project Revised Work Plans and budgets (2011, 2012 and 2013)

ANNEX C: EVALUATION QUESTIONS

This is a generic list, to be further detailed with more specific questions by CO and UNDP GEF Technical Adviser based on the particulars of the project.

Evaluative Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF focal area, 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: Was the project implemented efficiently, 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: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?			
•	•	•	•
•	•	•	•

ANNEX D: RATING SCALES

Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution 6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3. Moderately Unsatisfactory (MU): significant shortcomings 2. Unsatisfactory (U): major problems 1. Highly Unsatisfactory (HU): severe problems	Sustainability ratings: 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. Relevance ratings 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 AND AGREEMENT FORM

International Consultant:

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: _____

ANNEX F: EVALUATION REPORT OUTLINE

- i. Opening page:
 - Title of UNDP project
 - UNDP project ID#s.
 - Evaluation time frame and date of evaluation report
 - Region and countries included in the project
 - UNDP Operational Program/Strategic Program
 - 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
(See: UNDP Editorial Manual)
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

ANNEX G: EVALUATION REPORT CLEARANCE FORM

(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)

Evaluation Report Reviewed and Cleared by	
UNDP Country Office	
Name: _____	
Signature: _____	Date: _____
UNDP GEF RTA	
Name: _____	
Signature: _____	Date: _____

ANNEX H: INDIVIDUAL CONTRACTOR GENERAL TERMS AND CONDITIONS

ANNEX I – OFFERORS LETTER TO UNDP CONFIRMING INTEREST AND AVAILABILITY FOR THE INDIVIDUAL CONTRACTOR ASSIGNMENT

ANNEX II : ITINERARY OF ACTIVITIES OF THE FINAL EVALUATION MISSION

Dates	Task	Time proposed
A. Preparation		
5 – 9 December, 2013	<ul style="list-style-type: none"> Home-based work to prepare for evaluation including desk review of documents provided in advance at home office and develop preliminary evaluation methodology Depart from home country (9 June, 2013) 	5 days
12 December, 2013	<ul style="list-style-type: none"> International consultant arrives in country. 	
B. Evaluation Mission		
13-21 December 2013	Briefing meeting with PM (overview of the project)	9 day
A. Draft Evaluation Report		
27- 31 December 2013	<ul style="list-style-type: none"> Home-based work to prepare draft report Submission of final draft report to UNDP for comments and suggestions 	5 days
7 January 2014	<ul style="list-style-type: none"> Present draft report to a National stakeholder workshop for validation 	1 day
A. Final Evaluation Report		
8-14 January, 2014	Home-based work to finalize report incorporating comments of the validation workshop.	7 day
15 January 2014	Submission of final report to UNDP CO.	

Field Mission of the Evaluation Team

Date	Time	District	Project/Group visited	Person visited & Contact
13/12/2013	2:00-5:40pm	Mbale	Meeting with TACC PMU	Rebecca Nanjala and Martin Epua
14/12/2013	9:30-1:00pm	Mbale	Meeting with UNDP-GEF beneficiaries (CBO executives)	See lists of participants
14/12/2013	2:00-3:30pm	Mbale	Uganda Joint Women Association - Briquette making	Victoria Akia (0782285589)
14/12/2013	4:00-5:30pm	Mbale	Nabweya Parish Development Association (NAPADA) – Sustainable livelihoods (Goat & tree planting project)	Tom Namulowa (0774986697)
15/12/2013	All day	Mbale	Write up and review of documents	
16/12/2013	8:00-9:20am	Mbale	Individual beneficiary - Carbon finance scheme	Boniface Mangalia (07837395430)
16/12/2013	9:30-10:45am	Mbale	Mutoto Tree Planting Association – Climate smart coffee production	Zainabu Nabwire (0774573839)
16/12/2013	11:00-12:30pm	Mbale	Babuka Development Trust Uganda-Agroforestry & soil conservation project	Tabitha Mutenyo (0782696678)
16/12/2013	2:30-4:30pm	Mbale	Meeting with District leaderships and Technical Planning committee (TPC)	See lists of participants
17/12/2013	9:00-10:30am	Jinja	Meeting with TACC Steering committee members	See lists of participants
18/12/2013	9:00-12:30pm	Manafwa	Meeting with District leaderships and Technical Planning committee (TPC)	See lists of participants

Date	Time	District	Project/Group visited	Person visited & Contact
18/12/2013	2:00-3:30pm	Manafwa	Meeting with UNDP-GEF beneficiaries (CBO executives)	See lists of participants
18/12/2013	3:45-4:45pm	Manafwa	Youth Ending Hunger Association – Heifer & biogas project	Mr. Wamono John (0798252370)
18/12/2013	5:00-6:30pm	Manafwa	Kaato Farmers Marketing Initiatives (KAFAMI) - Soil and water conservation project	Wakoko Jackson & Mary Wekoye
19/12/2013	8:30-9:30am	Manafwa	Kitsi Farmers NGO (KIFANGO) – Agroforestry	Soyi Stephen (0778764757)
19/12/2013	10:00-11:00am	Manafwa	Bunefule HIV/AIDS Initiatives – Performance agreement at CBO level (Agroforestry to mitigate and adapt to climate change)	Ms. Betty Nandutu (c/o 0752843045)
19/12/2013	11:30-12:30pm	Manafwa	Elgon Education Foundation – Rehabilitation of degraded Hill through tree planting	MzeeMukhooli Sam
19/12/2013	2:30-3:30pm	Manafwa	African Rural Development Initiative(ARDI) – Alternative energy promotion & tree planting	Ms. Irene Sakari
20/12/2013	10:00-12:30	Bududa	Meeting with District leaderships and Technical Planning committee (TPC)	See lists of participants
20/12/2013	2:00-3:30pm	Bududa	Meeting with UNDP-GEF beneficiaries (CBO executives)	See lists of participants
21/12/2013	8:45-9:45am	Mbale	Meeting with CAO Mbale	
21/12/2013	11:00-12:00pm	Bududa	Wesakulira Development Project – Apiary and tree planting project	Washole James 0782968964
21/12/2013	12:30-1:45pm	Bududa	Bududa Evangelical Friends – Restoration of environment and livelihoods of landslide victims	NamutosiHadija 0785338982
21/12/2013	3:00-4:00pm	Bududa	When Rain Fails – Strengthening Resource Management Committee & promoting good environmental practices	Nekesa Grace 0778567701

ANNEX III : PERSONS INTERVIEWED

Lists of people consulted

Org/Group met: Inception report meeting

Date: 10/12/2013

Location: UNDP CO board room

	Name	Designation	Organization	Phone	Email
1	Andrew Otheno	Consultant		0793149487	andrewothieno@yahoo.com
2	Langoya Council Dickson	National Consultant TACC TE	Independent consultant	0772605432	langoyaj@yahoo.com
3	Twebaze Paul	Project Manager Promoting Chemical Safety		0776340666	twebbzo@yahoo.com
4	Daniel Omodo – McMondo	Project Analyst E&E	UNDP CO	0716005140	daniel.omodo@undp.org
5	Susan Muwanika	Project Associate E&E	UNDP CO	0716005185	susan.muwanika@undp.org
6	Nanjab Rebecca	Project Manager Territorial Approach to Climate Change Project	Mbale TACC	0716005156	nanjaneb@ymail.com

Lists of people consulted

Org/Group met: Small Grant Beneficiaries

Date: 14.12.2013

Location: Mbale District

	Name	Designation	Organization	Phone	Email
1	NANGWALE MERS	HRO	B.C.C	0782579102	Mnangwa6@gmail.com
2	WAKJIMWABEN ANTHONY	Chairperson	BUBUNGA DISTRICT TWP Uganda	0782456954	bubuganaki@yahoo.com
3	NAMBALE ROBERT	Chairman	Bumbi (BWA)	0772905018	nambalebobert@gmail.com
4					

Lists of people consulted

Org/Group met: DISTRICT TECHNICAL PLANNING COMMITTEE

Date: 16/12/13

Location: MBILE

	Name	Designation	Organization	Phone	Email
1	OPUSI JOSEPH	NILW	Mbale Dist	072682978	joseopusi@yahoo.com
2	MASAGI Rehema	Statistician	Mbale DLG	078507874	masagirehema@gmail.com
3	WANJALE ABDALLAH	D/PLANNER	MBALE DLG	0772903626	magomusoni@gmail.com
4	Nanjale Rebecca	Project Manager	UNDP - Mbale TACC	0392540026	nanjaneb@gmail.com
5					

Lists of people consulted
 Org/Group met: BUDUDA CBO's Small GRAN BENEFICIARIES
 Date: 20/12/13
 Location: Bududa District

	Name	Designation	Organization	Phone	Email
1	CHARLES LWANGA	Sec	SHUNYA TETANA CBO	0782607569	chleb
2	WATUWA MICHAEL	MEMBER	WESAKULIRA Dev. Group	0785326084	TS.
3	WASHILE	Treasurer	WESAKULIRA	07829189	Washile
4	WAYENTERA J.	Member	SHUNYA Tetana CBO	07851789	Wayentera
5	MWENYI RICHARD	VOLUNTEER	WHRAP	0782745537	Mwenyi
6	Namoni Namoni	Sec	Bududa DUG	078580279	namonnamoni@gmail.com
7					
8					

Lists of people consulted
 Org/Group met: Bududa DUG (Technical Planning Committee)
 Date: 20/12/2013 (Am)
 Location: Bududa District Hq.

	Name	Designation	Organization	Phone	Email
1	Natsambwa Samson	Acto	Bududa DUG	078287449	natsambwa Samson
2	WAKUJYA KANTHONY	Sec	BUDUDA DUG	0782501671	wakuja.kanthony@gmail.com
3	MUBOKI PAUL	SKS Planner	BUDUDA DUG	0782965010	muboki.paul.ug@gmail.com
4	Namoni Namoni	Sec	Bududa DUG	078580279	namonnamoni@gmail.com
5	Musamali Michael	Sec	DO -	0773904582	musamali@gmail.com
6	NAMWOLYO FRANK	V/C MAN	BUDUDA DUG	0774517288	namwolyo@gmail.com
7	TSOLOLO DAVID	Sec	DO -	0782642729	dtololo@whitmail.com
8	Akena Moses	Coordinator, ECOTRUST-milima	ECOTRUST	0774074901	akenamoses13@gmail.com mosesakena@ecotrustmail.com
9					

Lists of people consulted
 Org/Group met: MANAFWA CBO's SMALL GRAN BENEFICIARIES
 Date: 18/12/13
 Location: MANAFWA

	Name	Designation	Organization	Phone	Email
1	YAKA ROBERT	Specialist	SITOBO	0779862283	
2	MACHOYE MATHAN	V/C Man	SITOBO	0774492206	
3	ROSE ZEBUYI	member	SITOBO	-	
4	NASIMOH GEORGE	Treasurer	SITOBO FALG.	0782142355	sitobofgroup.org mail.com
5	WATYAUWA MARTIN	Member	BUNEFULE HIV	0774110907	-
6	OKIRW. S. PAMU	Treasurer	Bunefule HIV	078118267	-
7					

Lists of people consulted

Org/Group met: DISTRICT TECHNICAL PLANNING COMMITTEE

Date: 18/12/2013

Location: MANAFWA DISTRICT LOCAL GOVERNMENT

	Name	Designation	Organization	Phone	Email
1	Weyuya Joseph	DCDO	MANAFWA	0752624533	Weyuyajoseph@gmail.co
2	Wataaka John	for DPMO	Manafwa	0772952695	Wata'ajohn@gmail
3	A. O'Kelly Denis	AVO	Manafwa	0772883605	odenis61@yahoo.co
4	OURUMAH K.C	Senior Planner	Manafwa	0775-119306	Karingamcharles@gmail
5	Bisikwa Sarah	SEO/CC focal person	Manafwa	0779665033	'Com Aithy
6					bisikwa81@gmail.com
7	Mwangata Michael	Forestry Officer	Manafwa	0772946212	mwiike2002@gmail.co
8	MASABASI Patrick	BMT Water Sector	Manafwa	0783374401	—
9					

Lists of people consulted

Org/Group met: ITC P Steering Committee member

Date: 17/12/2013

Location: Tungs Sun Rd Hotel

	Name	Designation	Organization	Phone	Email
1	Frank Kagoda	Sr. Resident Officer	NARO - Buginyanya Zonal	0772898988	fkagoda@gmail.com
2	Abdullah Kibungu	Executive Director	MBALE NGO FORUM	0772626744	mbalengoforum@yahoo.com
3	Bintore K. A	CAM	UWA	0772622635	bintorek@yahoo.co
4	Twinnu Juni Naboth	Sector Manager	KIFA	0778939373	botkmuji@yahoo.com
5	Stephen Mungoma	Director	Uganda Christian University, Mbale	0784111645	smungoma@gmail.com
6	Nanjala Rebecca	Project Manager	UNDP	071605266	nanjales@gmail.com
7	Nakanyenze Anne	SEO - Climate focal	Mbale DHA	0772853587	nakanyenzeanne@gmail.com
8	Twikirize Charles	MBale DRO	Mbale DHA	0777913665	C.twikirize@gmail.com
9	NATHAN LUJUMWA	D/Co-Budido	Budido DHA	0772868383	lujumwanathan@yahoo.com
10	Bisikwa Sarah	SEO/CC focal point	Manafwa District	0779665033	bisikwa8@gmail.com
11	Namono Namon	Devol. Officer	Budido	0785280279	namonnamon@gmail.com
12					

Lists of people consulted

Org/Group met: SMALL GRANT BENEFICIARIES / CARBON CREDIT FINANCE SCHEME

Date: 14.12.2013

Location: Mbale District

	Name	Designation	Organization	Phone	Email
1	VICTORIA AKIA	DIRECTOR UJWA	UJWA	078285555	Uuwaj@johu.com
2	NALYAKA MARY	JOINT LEADER	UJWA	078717216	nalyaka.mary@gmail.com
3	NALONGO LOT	MEMBER	UJWA	0777150632	
4	MASABI ARATI C/PERSON		Mutoto T.P.A	077457332	Mgale, Lucy, @yaho
5	NABWIRE ZAINAB	member	mutoto T.P.A		Nabwire
6	WANZALA D	Member	BABUKA Mutoto T.P.A	07724857	
7	Nabuddo S.	member	- do -	0787644366	
8	NABULABI LYRA	member	mutoto	078774314	
9	KENNEDY NENGHONE	MEMBER	BABUKA	07877553291	
10	Wambede A.	member	Napada	0701474492	
11	GIDUWA M.	Member	Mutoto T.P.A	0784966866	
12	Mangalia Binfa	Member s/c	Carbon farmer	078379543	
13	WANGOTA EMMANUEL	NYOND s/c	CARBON f.	0778719573	
14	AKENA MOSES	Coordinator-Mbale	ECOTRUST	0774074901	
15	MUKWADA DAVID	Member	Babuka	0779585874	
16	MUTENYO TABITHA	MEMBER	BABUKA	0782696678	
17	NAUMU KINTU	members	NAPADA	0774944713	
18	NAMUKHWA S	c/person	NAPADA	0774986642	
19	SEIKASSA APOLO	Member	NAPADA	0755171793	
20	Kambal - melia	member	BEC	077635538	

Lists of people consulted
 Org/Group met: BUDUDA CBO's Small Great Beneficiary
 Date: 20/12/13
 Location: BUDUDA

	Name	Designation	Organization	Phone	Email
1	WATHIMBUH CHUKO	WLP	ELGON TOWN	077248821 070556277	
2	NAMWANO ANNA	MEMBER	ELGON FARMERS	0782619705	
3	NEKESA SARAH	MEMBER	ELGON F	078588662	
4	NAKHOKHOI	MEMBER	ELGON F	077414490	
5	Nekyesa Grace	member	When Rains Fall	077567701	whraf2000@yahoo.com
6	Alice Munda	Executive	When Rains Fall	0772481852	anmundara@yahoo.co
7	Rose Malizo	Member	"	0781938006	
8	Samali KUKKO	Member	"	0782081990	
9	Ramulali KUKKO	Sec.	when rains fall	0774602793	
10	WAKODHARIPET	MEMBER	"	0778266652	
11	WANCHIBE PETER	C/MAN	WESAKUBIA A BOUT PROJECT	078219780	Wanyipeter@gmail.com
12	MANGUHA BEN	MEMBER	"	0776439586	Manben12@gmail.com
13	MAKHOSI JALU	member	Bududa Evangelical	0779954568	
14	KULOBIA JAMES	Member	-do-		
15	NANDUIS ROBIN	member	ELGON F.A	0779974399	
16	WALUMALI TEREZA	Treasurer	E.F. HEIFER	0787108744	
17	SHUSA MAKHOA	member	Kiduda E	0779946468	
18	MARGRETH SHUMWA	member	Bududa Evangelical	0785666173	Shu Wano
19	Alice Sela	Member	Shungu-tetani		alice
20	GODFREY C. BWAYA	C/MAN	SHUNGA TETANI C.B.D	0782573791	Godfrey

Lists of people consulted

Org/Group met:

MANAFWA CBO's Small Grant Beneficiaries

Date:

18/12/13

Location:

MANAFWA

	Name	Designation	Organization	Phone	Email
1	SIMWENDE ANDREW	Sec.	Bunafule HIV/AIDS Community Initiative	0775119344	-
2	SILA MUMIA F.	C/Person	BUNEFULE HIV/AIDS COMMUNITY INITIATIVE	0752843045	Sila.mumia@gmail
3	SOYI STEPHEN	C/Person	KITSI FARMERS NGRO	0778764757	kitsi.farmers@yahoo.co
4	WEBBORA ROBERT	TREASURER	KITSI FARMERS NGO	0773713109	-do-
5	WANATISOFURANG	MEMBER	-do-	0757135282	-do-
6	Soga Daudi	member	-do-	077863160	-do-
7	TENGANI MOSES	Member	ELGON EDUC. FOUNDATION	077112514	-do-
8	MUKISA JUTHA MUKINDU	Mobilizer	"	0773048479	-
9	MUNYIFA Geog	LC	"		-
10	KATSEMA ALICE	Member	YOUTH KALAMATI HANDICAP ASS		
11	NABUKWASI FLORENCE	Member	"	0782498176	-
12	SHILAKA LUKAS		"		
13	Lumako PETER	Chairperson Youth Ending Hunger	"	0775025311 E-mail: lumako.yeha@yahoo.co	Lumako.yeha@yahoo.co
14	Kutisi Stephen	C/Man	Kaato Farmers Marketing Initiative	0782308670	mwengyistephen@gmail.com
15	Nashangai	Farmer	"	0783693009	
16	MARY	WOLAYE	"	0785268831	
17	Watsemwase	Member	Kaato "	0787040744	watsemwase@gmail.com
18	WAKIRO JACOB	FARMER	"	0782155259	Wakiro9
19	OKIRO PAMPOS	TREASURY	BUNEFULE HIV/AIDS COMMUNITY INITIATIVE	0781182671	-
20	ROES NABULO	Member	SITOPOTO FALC GROUP	0785421218	-

ANNEX IV : SUMMARY EVALUATION OF PROJECT ACHIEVEMENTS BY OBJECTIVES AND OUTCOMES

The Project logframe in the Project Document was revised in the Inception Report. The present evaluation matrix uses the version contained in the Inception Report and also used by the MTR.

KEY:

GREEN = Indicators show achievement successful at the end of the Project.

YELLOW = Indicators show achievement nearly successful at the end of the Project.

RED = Indicators not achieved at the end of Project.

HATCHED COLOUR = estimate; situation either unclear or indicator inadequate to make a firm assessment against.

Project Objective: “To Support low-carbon and climate resilient local development in Uganda”.

Intended Outputs	Indicators	Baseline	Targets	Indicative Activities	Achievement by 15 December 2013
1. Partnership, coordination and participation platform for climate change planning and programming established.	Stakeholder engagement and participation platform established.	<p>Mbale Coalition Against Poverty established in 2006 to address poverty issues in general; paired environmental and carbon offsetting committees exist, although with low capacity at present.</p> <p>Ongoing partnership between Mbale region and the WAG</p> <p>National Climate Change Committee established for intersectoral coordination but still at its infancy with very limited capacity</p>	<p>ITCP steering committee in place by June 2011</p> <p>Regional Climate Change Forum established and functional by June 2011</p>	<p>1.1 Establishment of the ITCP Steering Committee with TORs</p> <p>1.2 Establishment of Mbale Region Climate Change Forum with TORs</p> <p>1.3 Establishment of working groups with TORs</p> <p>1.4 Establishment of a work plan</p>	<p>ITCP Steering Committee established with TORs and was functional.</p> <p>Mbale Regional Climate Change Forum (RCCF) established with TORs and was functional.</p> <p>Working groups established with TORs and was functional.</p> <p>Work plan developed.</p>

Intended Outputs	Indicators	Baseline	Targets	Indicative Activities	Achievement by 15 December 2013
		Climate change focal points are in place			
	Communication Strategy developed	No communication strategy exists	An effective communication strategy in place by June 2011	1.5 Carry out stakeholder analysis and development of stakeholder strategy	Stakeholders analysis conducted and communication strategy developed and implemented.
2. Capacity to integrate climate change issues into regional development plans and actions built.	CC Small Grants Scheme in Mbale operational	Mbale CAP Tree planting Project-One Million Trees funded by Waterloo Foundation established in August 2010 and has been running for the last six months. Only three NGOs have accessed funding. Coverage is still very small.	CC Small Grants Scheme established and functional by Dec 2011 8 proposals awarded and implemented under the CC Small Grants Scheme by Dec 2012	2.1 Establishment of the climate change small grants scheme 2.2 Disbursement of small grants to qualified applicants and quality assurance of the awarded activities 2.3 Capacity needs assessment towards low carbon and climate change resilient development 2.4 Development of a capacity development plan to be incorporated into the ITCP and policy and investment package 2.5 Development and implementation of limited training and awareness creation for decision makers and general public on CC risks and opportunities 2.6 Evaluation of training activities conducted to	Small grant schemes established. Following standard process, small grants were distributed to competitive CBOs, NGOs and farmers. Capacity need assessment conducted for all District Local Government offices. Capacity development plan developed. Awareness training on CC risks and opportunities were conducted for decision makers and community members.
	# of communities benefited from activities supported by the Small Grants Scheme for CC M/A related activities	Limited number of communities are befitting from the Waterloo funded projects	At least 8 communities/ groups benefiting by end of 2012		
	# of local communities and decision makers benefited from CC awareness raising activities	Awareness raising activities on tree planting conducted at schools nation-wide as well as for parliamentarians by NGOs.	200 people benefit (representatives of Local Government councils, Technical Staff, CSOs, RDCs, community members)		

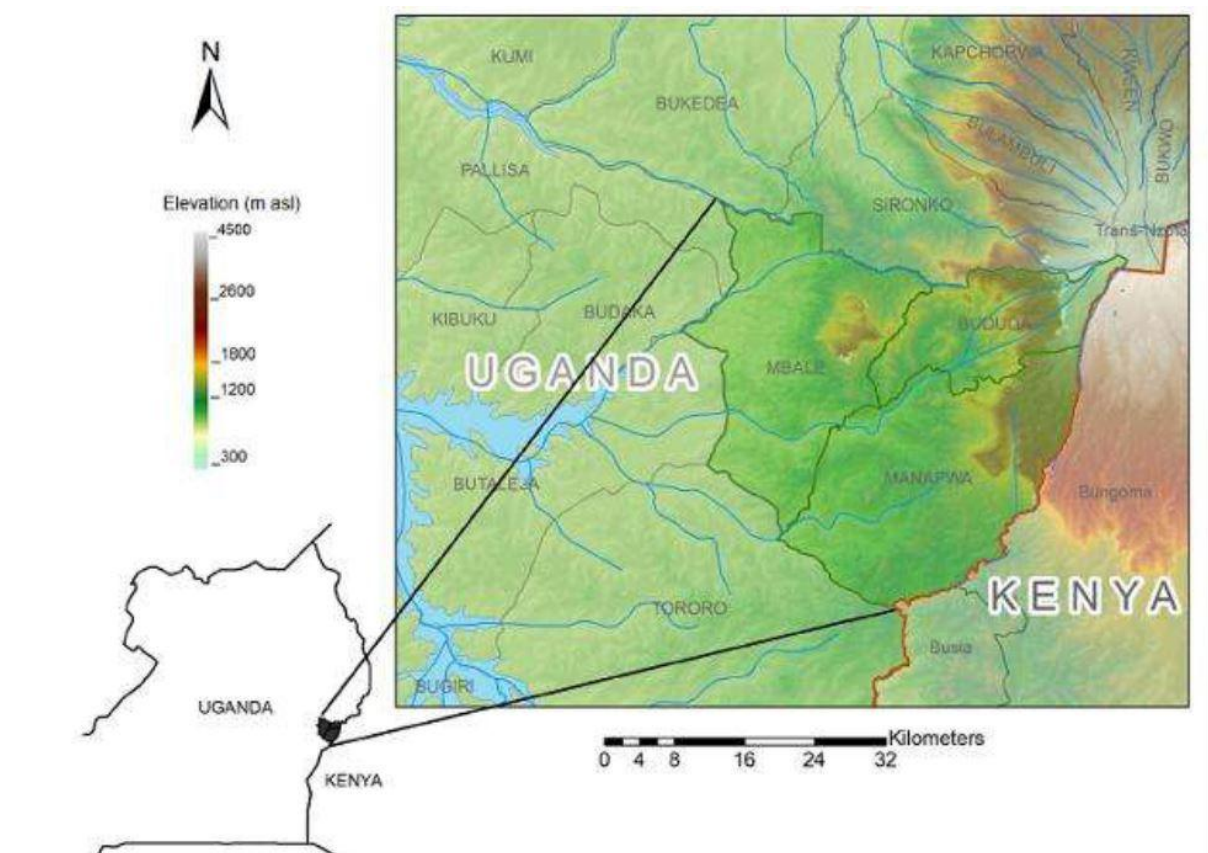
Intended Outputs	Indicators	Baseline	Targets	Indicative Activities	Achievement by 15 December 2013
				improve the quality of training	
	Capacity Development Action Plan developed	No systematic capacity needs assessment conducted for the low carbon and climate resilient development. Capacity needs, existing capacity, capacity gaps are all unknown.	Required capacity identified and prioritized by September 2011 Capacity Development Action Plan developed by December 2011 Capacity Development activities initiated by March 2012		
3. Integrated Territorial Climate Plan (ITCP) formulated.	Climate Profile of the Mbale region developed	First National Communication was submitted to UNFCCC, which includes GHG emissions mapping and sector analysis at the National level. NAPA developed and identified priority adaptation actions at the national level, but not implemented. No climate forecasting model downscaled to the Mbale region	GHG emissions analysis, sector analysis and the inventory of regional development priorities conducted by July 2011 Climate forecasting downscaled to Mable region by September 2011 Risk and vulnerability assessment conducted by September 2011 Climate Profile compiled by September 2011	3.1 Development of the Climate Profile the region based on: Inventory of regional development priorities and initiatives to establish the base line Development/ identification of localized climate change forecasting Risk and vulnerability assessment and creation of vulnerability maps - Local carbon budgeting based on the GHG emissions and energy needs assessment	Climate profile developed based on inventory of regional development priorities and initiatives to establish baselines. Developed localized climate change forecasting system.
	Climate Change mitigation and adaptation options identified and analyzed	NAPA developed and identified priority adaptation actions at the national level, but not implemented.	Low carbon development as well as adaptation options and opportunities identified by March 2012		

Intended Outputs	Indicators	Baseline	Targets	Indicative Activities	Achievement by 15 December 2013
			Options analyzed and compared through a social –economic analyses and prioritized by June 2012 Potential synergies and trade-offs between options analyzed by June 2012	3.2 Climate change mitigations and adaptation options analysis, based on: -identification of low-carbon development and adaptation options and opportunities -Economic analyses and comparison of options and opportunities -Identification of priority adaptation and mitigation options and opportunities -Analysis of potential synergies and trade-offs between priority adaptation and mitigation measures	Climate change mitigation and adaptation options analyzed and priority adaptation and mitigation options and opportunities listed.
	Integrated Territorial Climate Plan developed.	No ITCP in place	Draft Integrated Territorial Climate Plan for Mbale region formulated by June 2012 Further extensive consultations made on Draft ITCP by Sept 2011 ITCP formulated and endorsed by December 2012 Implementation modality for the ITCP identified by Dec 2012 ITCP operational by March 2013	3.3 Development of the Climate change action Plan based on: -Institutional, governance and financial analysis to implement actions related to climate change mitigation and adaptation -Prioritization of adaptation and mitigation options (in the order of no regret, negative cost, no cost and low cost) -capacity needs assessment (from output 2)	Climate Change Action Plan developed.

Intended Outputs	Indicators	Baseline	Targets	Indicative Activities	Achievement by 15 December 2013
	developed to mobilize resources for the ITCP implementation	mitigation or adaptation projects proposal developed in Mbale Region. Some small scale projects to promote fuel efficient cook stoves exist, but not systematically promoted to link them to the low-carbon regional development.	project ideas identified and prioritized based on the ITCP by March 2013 At least 5 project proposals developed from project ideas by June 2013	introduction of legal and financial instruments to address climate change 4.4 Identification of potential sources of funding for the project 4.5 Preparation of project proposals and submission to donors, carbon financiers and other relevant parties 4.6 Undertake project concept marketing and partnership building	the ITCP). Potential funding sources identified (included in chapter 7 of ITCP) and initiated dialogue with donors. 2 Project proposals prepared (afforestation/coffee agroforestry and improved cook stove carbon scheme). MoU signed by district with Ecotrust to manage carbon scheme and market carbon credits. Developed project concept and initiated marketing and partnership building.
	Policy reform options identified to direct investments towards low carbon and climate resilient development	No climate change policy exists yet. Few policies incorporate climate change considerations. Policy consistencies are not assessed between sectors to achieve low carbon and climate resilient society.	At least 5 policy reform options (legal and financial instruments) to address climate and /or to direct investment identified through consultation with industry and the public sector by march 2013 At least 3 policy reform options identified to mainstream climate change considerations into development planning tools (NAADS report, PEAP etc.) by March 2013		
	Financial resources secured for the implementation of the ITCP by marketing the investment package through networks, partnerships, and to various carbon	No CDM or voluntary carbon projects developed so far in Mbale region	Donor consultation held by March 2013 Financing for at least three climate change initiatives secured for implementation by June 2013		

Intended Outputs	Indicators	Baseline	Targets	Indicative Activities	Achievement by 15 December 2013
	markets				
5. Lessons learned and best practices disseminated	Knowledge Management system developed. Knowledge products produced for specific audience and disseminated	No knowledge management system exists, but some efforts in knowledge sharing, environmental education, awareness raising on climate change issues supported by various partners.	A project website established for information sharing and reported on during the June 2011 Knowledge management system in place and operational September 2011 At least 3 lessons learned produced from the project and shared on website by end of year 2 and disseminated through networks within and outside of	5.1 Development of a knowledge management system to capture lessons learned and to promote project results and replications 5.2 Establish project website and web-based discussions and dissemination of information and lessons learned 5.3 Knowledge products produced to targeted audience in appropriate languages and disseminated according to the communication strategy	Knowledge Management system developed capturing lessons learned. Project website developed and also linked to and being hosted by CC Unit's website. Various knowledge products produced for different target audience in appropriate languages and disseminated.
Project management	Project Governance framework established and operational.	No project governance structure exists	PMU and Project governance framework established and functional by March 2011		

ANNEX V: MAP OF MBALE REGION SHOWING PROJECT SITES



ANNEX VI: REVISED TABLE OF PROJECT INDICATORS

Intended Outputs	Indicators	Baseline	Targets	Indicative Activities
6. Partnerships, coordination and participation platform for climate change planning and programming established.	Stakeholder engagement and participation platform established.	<p>Mbale Coalition Against Poverty established in 2006 to address poverty issues in general; paired environmental and carbon offsetting committees exist, although with low capacity at present.</p> <p>Ongoing partnership between Mbale region and the WAG</p> <p>National Climate Change Committee established for intersectoral coordination but still at its infancy with very limited capacity</p> <p>Climate change focal points are in place</p>	<p>ITCP steering committee in place by June 2011</p> <p>Regional Climate Change Forum established and functional by June 2011</p>	<p>1.1 Establishment of the ITCP Steering Committee with TORs</p> <p>1.2 Establishment of Mbale Region Climate Change Forum with TORs</p> <p>1.3 Establishment of working groups with TORs</p> <p>1.4 Establishment of a work plan</p>
	Communication Strategy developed	No communication strategy exists	An effective communication strategy in place by June 2011	1.5 Carry out stakeholder analysis and development of stakeholder strategy
7. Capacity to integrate climate change issues into regional development plans and actions built.	CC Small Grants Scheme in Mbale operational	Mbale CAP Tree planting Project-One Million Trees funded by Waterloo Foundation established in August 2010 and has been running for the last six months. Only three NGOs have accessed funding. Coverage is still very small.	<p>CC Small Grants Scheme established and functional by Dec 2011</p> <p>8 proposals awarded and implemented under the CC Small Grants Scheme by Dec 2012</p>	<p>2.1 Establishment of the climate change small grants scheme</p> <p>2.2 Disbursement of small grants to qualified applicants and quality assurance of the awarded activities</p> <p>2.3 Capacity needs assessment towards low carbon and climate change resilient development</p> <p>2.4 Development of a capacity development plan to be incorporated into the ITCP and policy and investment package</p> <p>2.5 Development and implementation of limited training and awareness creation for decision</p>
	# of communities benefited from activities supported by the Small Grants Scheme for CC M/A related activities	Limited number of communities are benefiting from the Waterloo funded projects	At least 8 communities/groups benefiting by end of 2012	
	# of local communities and decision makers benefited from CC awareness raising activities	Awareness raising activities on tree planting conducted at schools nation-wide as well as for parliamentarians by NGOs.	200 people benefit (representatives of Local Government councils, Technical Staff, CSOs, RDCs, community members)	

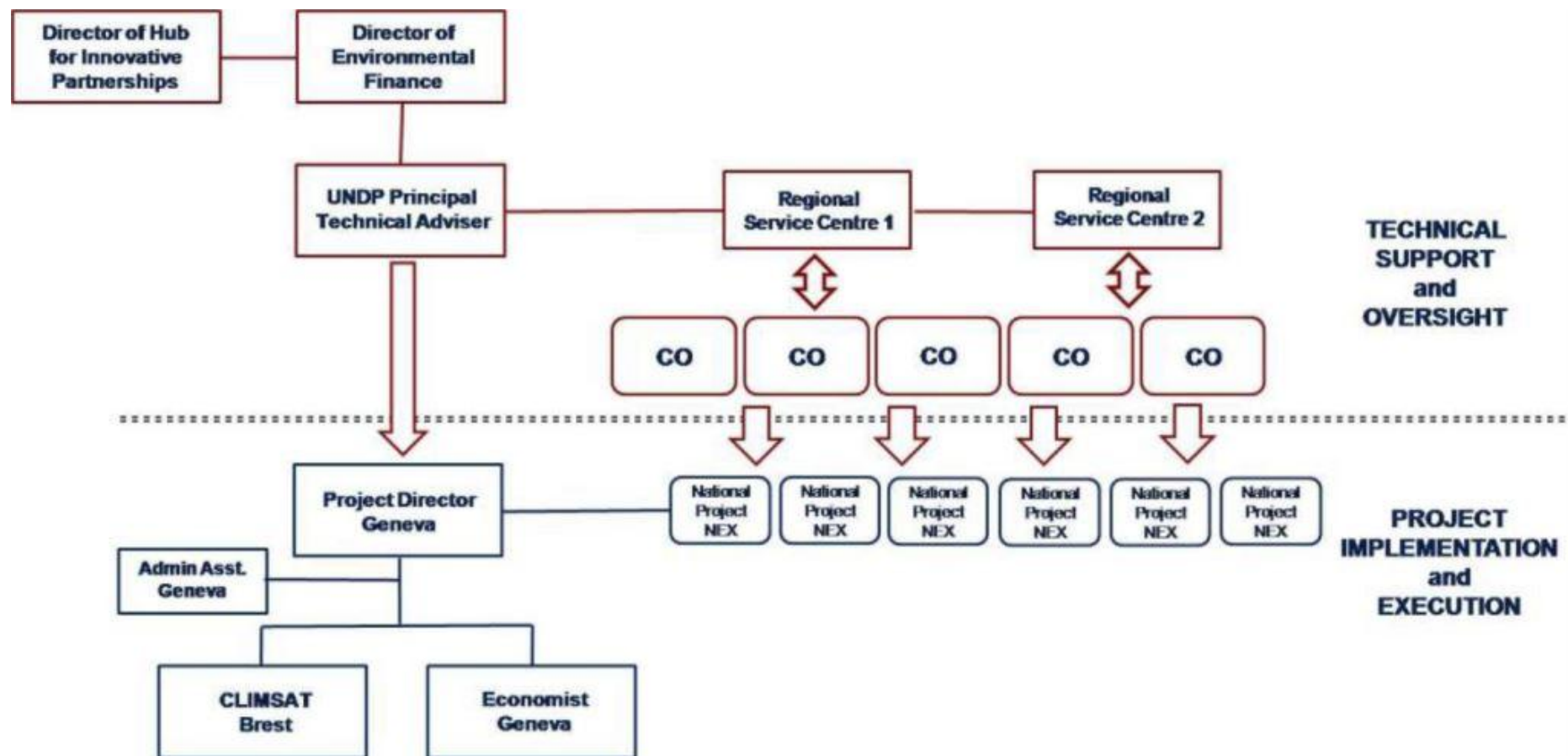
Intended Outputs	Indicators	Baseline	Targets	Indicative Activities
				<p>markers and general public on CC risks and opportunities</p> <p>2.6 Evaluation of training activities conducted to improve the quality of training</p>
	Capacity Development Action Plan developed	<p>No systematic capacity needs assessment conducted for the low carbon and climate resilient development.</p> <p>Capacity needs, existing capacity, capacity gaps are all unknown.</p>	<p>Required capacity identified and prioritized by September 2011</p> <p>Capacity Development Action Plan developed by December 2011</p> <p>Capacity Development activities initiated by March 2012</p>	
8. Integrated Territorial Climate Plan (ITCP) formulated	Climate Profile of the Mbale region developed	<p>First National Communication was submitted to UNFCCC, which includes GHG emissions mapping and sector analysis at the National level.</p> <p>NAPA developed and identified priority adaptation actions at the national level, but not implemented.</p> <p>No climate forecasting model downscaled to the Mbale region</p>	<p>GHG emissions analysis, sector analysis and the inventory of regional development priorities conducted by July 2011</p> <p>Climate forecasting downscaled to Mable region by September 2011</p> <p>Risk and vulnerability assessment conducted by September 2011</p> <p>Climate Profile compiled by September 2011</p>	<p>3.1 Development of the Climate Profile the region based on:</p> <p>Inventory of regional development priorities and initiatives to establish the base line</p> <p>Development/ identification of localized climate change forecasting</p> <p>Risk and vulnerability assessment and creation of vulnerability maps</p> <p>- Local carbon budgeting based on the GHG emissions and energy needs assessment</p>
	Climate Change mitigation and adaptation options identified and analyzed	NAPA developed and identified priority adaptation actions at the national level, but not implemented.	<p>Low carbon development as well as adaptation options and opportunities identified by March 2012</p> <p>Options analyzed and compared through a social –economic analyses and prioritized by June 2012</p> <p>Potential synergies and trade-offs between options analyzed by June 2012</p>	<p>3.2 Climate change mitigations and adaptation options analysis, based on:</p> <p>-identification of low-carbon development and adaptation options and opportunities</p> <p>-Economic analyses and comparison of options and opportunities</p> <p>-Identification of priority adaptation and mitigation</p>
	Integrated Territorial Climate Plan developed.	No ITCP in place	Draft Integrated Territorial Climate Plan for Mbale region formulated by June 2012	

Intended Outputs	Indicators	Baseline	Targets	Indicative Activities
			<p>Further extensive consultations made on Draft ITCP by Sept 2011</p> <p>ITCP formulated and endorsed by December 2012</p> <p>Implementation modality for the ITCP identified by Dec 2012</p> <p>ITCP operational by March 2013</p>	<p>options and opportunities</p> <p>-Analysis of potential synergies and trade-offs between priority adaptation and mitigation measures</p> <p>3.3 Development of the Climate change action Plan based on:</p> <p>-Institutional, governance and financial analysis to implement actions related to climate change mitigation and adaptation</p> <p>-Prioritization of adaptation and mitigation options (in the order of no regret, negative cost, no cost and low cost)</p> <p>-capacity needs assessment (from output 2)</p> <p>-Policy and investment plan</p> <p>-Identification of the implementation arrangements and the development of M & E framework</p> <p>3.4 Formulation of the integrated Territorial Plan based on the above</p> <p>3.5 Endorsement of the ITCP</p>
9. Climate change policy and investment package developed.	Pre-)feasibility study conducted for priority project ideas	<p>No CDM or Voluntary Carbon projects developed so far in the Mbale region.</p> <p>Some work by UWA through FACE on voluntary carbon opportunities.</p> <p>No feasibility study conducted for possibility of CDM p region.</p>	<p>Pre-feasibility studies for priority project ideas conducted by Dec 2011</p> <p>Based on these, at least three (3) project concepts developed and submitted to access appropriate carbon markets by March 2012</p>	<p>4.1 Conduct pre-feasibility studies for priority project ideas</p> <p>4.2 Development of a list of climate change project ideas, including the identification of project – level emissions mitigation and/ or sequestration activities</p> <p>4.3 Identification of</p>
	Investment Package	No climate change	A set of climate change	

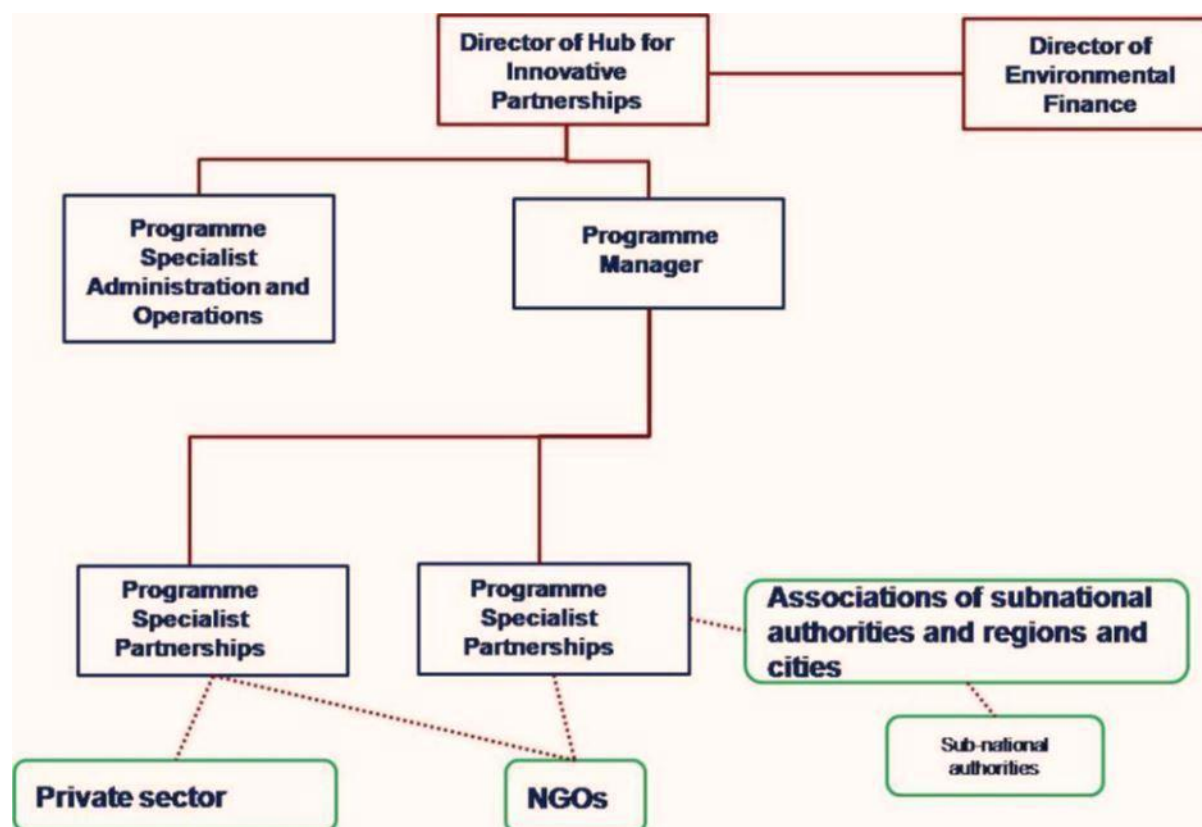
Intended Outputs	Indicators	Baseline	Targets	Indicative Activities
	developed to mobilize resources for the ITCP implementation	mitigation or adaptation projects proposal developed in Mbale Region. Some small scale projects to promote fuel efficient cook stoves exist, but not systematically promoted to link them to the low-carbon regional development.	project ideas identified and prioritized based on the ITCP by March 2013 At least 5 project proposals developed from project ideas by June 2013	options for the introduction of legal and financial instruments to address climate change 4.4 Identification of potential sources of funding for the project 4.5 Preparation of project proposals and submission to donors, carbon financiers and other relevant parties
	Policy reform options identified to direct investments towards low carbon and climate resilient development	No climate change policy exists yet. Few policies incorporate climate change considerations. Policy consistencies are not assessed between sectors to achieve low carbon and climate resilient society.	At least 5 policy reform options (legal and financial instruments) to address climate and /or to direct investment identified through consultation with industry and the public sector by march 2013 At least 3 policy reform options identified to mainstream climate change considerations into development planning tools (NAADS report, PEAP etc.) by March 2013	4.6 Undertake project concept marketing and partnership building
	Financial resources secured for the implementation of the ITCP by marketing the investment package through networks, partnerships, and to various carbon markets	No CDM or voluntary carbon projects developed so far in Mbale region	Donor consultation held by March 2013 Financing for at least three climate change initiatives secured for implementation by June 2013	
10. Lessons learned and best practices disseminated	Knowledge Management system developed. Knowledge products produced for specific audience and disseminated	No knowledge management system exists, but some efforts in knowledge sharing, environmental education, awareness raising on climate change issues supported by various partners.	A project website established for information sharing and reported on during the June 2011 Knowledge management system in place and operational September 2011 At least 3 lessons learned produced from the project and shared on website by end of year 2 and disseminated through networks within and outside of	5.1 Development of a knowledge management system to capture lessons learned and to promote project results and replications 5.2 Establish project website and web-based discussions and dissemination of information and lessons learned 5.3 Knowledge products produced to targeted audience in appropriate

Intended Outputs	Indicators	Baseline	Targets	Indicative Activities
				languages and disseminated according to the communication strategy
Project management	Project Governance framework established and operational.	No project governance structure exists	PMU and Project governance framework established and functional by March 2011	
Total project budget				

ANNEX VII: ORGANIZATIONAL STRUCTURE OF PROJECT



UNDP hub for innovative Partnerships



Annex VIII: Field Visit Summary

Field mission was initiated from 13th of December. The field visit mission had intension of achieving first-hand information on project activities and witness its impact. Field mission activities are summarized in the table below:

Date	Activities
13 December 2013	Visited Mbale district. Conducted meeting with Project Manager Rebecca Nanjala and Accountant Mr. Martin Epua to have overview on the project and activities implementation.
14 December 2013	9.30-1pm: Meeting with five beneficiaries to discuss on their views on project activities and benefits they had. Also discussed on the constraints and their suggestion for the betterment of small grant program. 2-3.30pm: Visit to Uganda Joint Women Association to observe Briquette making activities and have information related to it. 4-5.30pm: Visited Nabweya Parish Development Association and observe some livelihood programs (goat and tree plantation).
15 December 2013	Review of various project documents and analysis of field findings.
16 December 2013	8-920am: Visited various individual beneficiaries of carbon finance scheme. 930-10.45am: Visited Climate Smart Coffee production activities implemented by Mutoto Tree Plantation Association. 11-12.30: Visited Agro-forestry and soil conservation activities of Babuka Development Trust. 2.30-4.30pm: Had meeting with District Leaderships and Technical Planning Committee (TPC).
17 December 2013	Attended Steering committee meeting in Jinja and had interaction with steering committee members on different aspect of the project and post project situations.
18 December 2013	Team leader had short meeting with UNDP staffs in Kampala (UNDP CO) to discuss on project issues. National Expert had meeting with District Leaderships and technical committee (TPC) and UNDP-GEF beneficiaries (CBO executives). Also visited Soil and Water Conservation activities of Kaato Farmers Marketig Initiatives (KAFAMI).
19 December 2013	8.30-9.30am: Observed Agroforestry activities of Kitsi Farmers NGO (KIFANGO). 10-11am: Observed agro-forestry activity to mitigate and adaptation to climate change by Bunefule HIV/AIDS initiatives. 11.30-12.30pm: Observed tree plantation on degraded hills by Elgon Education Foundation. Observed alternative energy promotion and tree planting by African Rural Development Initiative (ARDI).
20 December 2013	10-12.30pm: Had meeting with District leaders and Technical Planning Committee (IPC) of Bududa. Had meeting with UNDP-GEF beneficiaries (CBO executives) from Bududa.
21 December 2013	8.45-9.45am: Meeting with CAO Mbale. 11-12pm: Observed Apiary and tree plantation activities of Wesakulira Development Project. 12.30-1.45pm: Observed restoration of livelihood and environment activities for landslide victims run by Bududa Evangelical Friends. 3-4pm: Observed activities to strengthening and resource management committee and promoting good environmental practices by When Rain Fails.

Annex IX : Project Deliverables

- Project Document
- TACC Annual Report 2013
- TACC Quarterly Reports
- Capacity Development Action Plan-Short Version
- Feasibility Assessment for tree planting carbon scheme-Socio-economic Assessment
- Feasibility Assessment for tree planting carbon scheme-Biomass Assessment
- TACC Mbale Adaptation and Mitigation Options policy brief
- TACC Mbale CC Adaptation and Mitigation Options and Opportunities Report
- Training report on climate change risks and opportunities-28-29 August 2012
- Training Report on climate change risks and opportunities, 5 Nov 2012
- Training Report-Final on Mainstreaming Climate Change in District Development Planning Process
- Capacity Development Action Plan
- Final Mbale TACC Project Document
- Final TACC Project Review Report 2013
- Mbale TACC Mt. Elgon tree carbon scheme extension project design document
- TACC MTE Final Report
- Integrated Territorial Climate Plan (ITCP)

Annex X: Evaluation Rating Table.

Criterion	Comments	Rating
Monitoring and Evaluation		
Overall quality of M&E	The design of M&E was up to standard with a fully itemised and cost Plan included in the Project Document covering all the various M&E steps including the allocation of responsibilities. But implementation of M&E at the field level by the project management, steering committee and District Local Government was poor. But M&E by implementing partner was satisfactory.	Satisfactory
M&E design at project start up	The design of M&E was up to standard with fully itemised and cost plan included in the Prodoc covering all the various M&E steps including allocation of responsibilities.	Satisfactory
M&E Plan Implementation	M&E implementation (progress monitoring) by the partner organisation was satisfactory but field monitoring by project management and District Local Government was poor. Internal was satisfactory and was conducted as per the project plan. The impact monitoring, by partner organisation was satisfactory but by the District Local Government, steering committee and project management was poor.	Satisfactory
IA & EA Execution:		
Overall Quality of Project Implementation/Execution	The Project has been well-organised and well-managed throughout providing products of the highest technical quality on time and within budget, while responding effectively to a range of internal and external challenges through good adaptive management.	Satisfactory
Implementing Agency Execution	District Local Government provided PMU full authority to implement activities and also cooperated to resolve the problem that were raised while implementation. PMU was calibre which exhibited a real drive to ensure their targets were met, assured high technical quality and shared knowledge to as per need for the success of the project.	Satisfactory
Executing Agency Execution	In the beginning there was delay in procurement services but latter it was corrected and UNDP provided an adequate level of supervision and backstopping to the Project.	Satisfactory
Outcomes		
Overall Quality of Project Outcomes	Overall quality is of the high order.	Highly Satisfactory
Relevance	The Project intervenes to increase awareness at the farmer's level to planner/policy makers, address climate change issues, pilot mitigation and adaptation activities to increase resilience to climate change.	Relevant
Effectiveness	A review of outcomes to impacts (ROtI) shows the overall likelihood of impacts being achieved is Highly Likely.	Highly Satisfactory

Cost-effectiveness (Efficiency)	Project management costs were trimmed to 80% of those originally budgeted, and cost-effectiveness has been a priority of the implementing partner- DLG and PMU, throughout, amongst their priorities. This, combined with significant levels of additional co-financing leveraged by the Project's activities, means the overall cost-effectiveness of the Project has been extremely high	Highly Satisfactory
Sustainability:		
Overall Sustainability	Most of the expected risks in the prodoc were addressed. The only risk remained is related to mainstreaming lessons learned from piloting of climate change adaptation/mitigation in NDP. As there is lack of link to upload these lessons to that level and till date no effort made to include CCU in this project activities this remains uncertain. But since project board was headed by the Permanent Secretary of the MWE it is expected that he will contribute to upload lessons learned to mainstream NPD during its mid-term review.	Likely
Financial resources	CBOs, NGOs and even district local government agencies has interest to support for continuation of achievements of this project. Since CBOs and NGOs are trained there is evidence of considerable technical support. These organisations also showed interest to access finance from other donors for continuing the achievement of the project. District local Government authorities of three districts planning to send joint request to increase fund for such activities.	Likely
Socio-economic	Linking benefit to environment activities attracted communities to continue such activities. CBO, NGOs and local government has shown interest to continue achievements of the project.	Likely
Institutional framework and governance	Institutionally good through strengthened capacity of farmers, CBOs, NGOs and District Local Government and support from senior staff in the District Local Government Office.	Likely
Environmental	No risks evident.	Likely
Impact:		
Environmental Status Improvement	Tree plantation in steep erosion/landslide prone areas helped to decrease such risks and increased plantation helped to increase carbon sequestration and alternative energy scheme helped to decrease pressure on the tree and also decreased carbon emission to the air. The carbon financing encouraged to plant and protect trees. Increase awareness on climate change and importance of tree protection help to maintain environment of the region. Plantation increased greenery of the area.	Significant
Environmental Stress Reduction	Alternative energy activities helped to reduce use of wood and thereby decreased pressure on the forest. Financial attraction to plant tree also help to protect trees and plantation of trees in steep landslide prone areas decreased such threats.	Significant

Progress towards stress/status change	Generally very good – decrease in tree cutting, increase in plantation and protection of trees and decrease in wood use due to alternative energy help to decreased stress on the forest. Similarly, increased awareness among farmers and policy makers/planners assures further betterment in environment sector.	Significant
Overall Project Results		Highly Satisfactory

Annex XI: Evaluation Criteria.

Evaluation criteria question	Indicators	Source	Methodology
Relevance (Purpose level): How does the project relate to the main objectives of the GEF focal area and to the environment and development priorities at the local, regional and national level?			
a) How have the project beneficiaries been satisfied with the project deliverables and outcomes?	<ul style="list-style-type: none"> Operational and successful CC small grant scheme projects in Mbale Region 	<ul style="list-style-type: none"> Reports Field assessment for evidence Talking to beneficiaries 	<ul style="list-style-type: none"> Focus group discussion Interview Field observations photography
b) How has the environment benefited from the project deliverables?	<ul style="list-style-type: none"> Acreage of restored environment Number of voluntary carbon projects implemented 	<ul style="list-style-type: none"> Reports Field assessment for evidence Talking to beneficiaries 	<ul style="list-style-type: none"> Focus group discussion Interview Field observations photography
c) What have been the important and successful Integrated Conservation and Development (ICD) programs implemented by the project?	<ul style="list-style-type: none"> Number of successful project implementing ICD programs 	<ul style="list-style-type: none"> Reports Field assessment for evidence Talking to beneficiaries 	<ul style="list-style-type: none"> Focus group discussion Interview Field observations photography
Effectiveness (Achieving intended output): To what extent have the expected outcomes and objectives of the project been achieved?			
a) What has been achieved against the intended project objectives (initial objectives),	<ul style="list-style-type: none"> No. of partnership arrangements implementing projects No. of integrated territorial climate change plans (ITCP)) being implemented 	<ul style="list-style-type: none"> Reports Field assessment for evidence Talking to beneficiaries 	<ul style="list-style-type: none"> Review of project documents Focus group discussion Interview Field assessment
b) What are the reported achievements, and facts on the ground?	<ul style="list-style-type: none"> No. of successful climate change project being implemented 	<ul style="list-style-type: none"> Reports(monthly, quarterly, annual reports) Field assessment for evidence Talking to beneficiaries 	<ul style="list-style-type: none"> Review of project documents Focus group discussion Interview Field assessment

Evaluation criteria question	Indicators	Source	Methodology
Efficiency (Resource use level): Was the project implemented efficiently, in line with international and national norms and standards?			
a) Has the project done what it was set for?	<ul style="list-style-type: none"> • Functional ITCP steering committees and regional climate change forum • PMU and project governance framework implementation 	<ul style="list-style-type: none"> • Progress reports • Field assessment for evidence • Talking to beneficiaries 	<ul style="list-style-type: none"> • Review of project documents/reports • Focus group discussion • Interview • Field assessment and documentation
b) How the realized outputs were delivered or why expected outputs failed in some cases,	<ul style="list-style-type: none"> • No. of lessons learned and best practices disseminated 	<ul style="list-style-type: none"> • Reports • Field assessment for evidence • Talking to beneficiaries 	<ul style="list-style-type: none"> • Review of project documents/reports • Focus group discussion • Interview • Field assessment and documentation
c) What and why the proposed changes are needed.	<ul style="list-style-type: none"> • No. of lessons learned and best practices disseminated 	<ul style="list-style-type: none"> • Reports • Field assessment for evidence • Talking to beneficiaries 	<ul style="list-style-type: none"> • Focus group discussion • Interview
Sustainability (Future continuity level): To what extent are there financial, institutional, social-economics, and/or environmental risks to sustain long term project results?			
a) What has been put in place to ensure continuity of the project (financial, institutional arrangement, social-economic programs)?	<ul style="list-style-type: none"> • Future co-funding agreement or intent (Developed investment package proposals) 	<ul style="list-style-type: none"> • Reports • Talking to beneficiaries 	<ul style="list-style-type: none"> • Focus group discussion • Field observations • Review of project reports and documents
b) What are the environmental risk assessment to sustain long term project result put in place to sustain the project in future	<ul style="list-style-type: none"> • Feasibility study report on priority project ideas • Draft climate change policy statement developed 	<ul style="list-style-type: none"> • Reports • Interview 	<ul style="list-style-type: none"> • Focus group discussion • Field observations • Review of project reports and documents
Impact (overall objectives): Are there indications that the project has contributed to, or enabled progress towards reduced environmental stress and/or improved ecological status?			
a) What difference has the project made to-date?	<ul style="list-style-type: none"> • Percentage of happy and successful beneficiaries 	<ul style="list-style-type: none"> • Reports • Field assessment for 	<ul style="list-style-type: none"> • Focus group discussion • Field observations

Evaluation criteria question	Indicators	Source	Methodology
	<ul style="list-style-type: none"> • Proportion of restored environment 	<ul style="list-style-type: none"> evidence • Talking to beneficiaries 	<ul style="list-style-type: none"> • Review of project reports and documents
b) What are the projected outcomes of the outputs (income, food security, environment protection, socio-economic development, climate change resilient communities, biodiversity conservation, behaviour change, and gender roles), registered?	<ul style="list-style-type: none"> • Degree of improvement in Household income, food security • Degree of change in behavior towards environmental protection, biodiversity conservation 	<ul style="list-style-type: none"> • Reports • Field assessment for evidence • Talking to beneficiaries 	<ul style="list-style-type: none"> • Focus group discussion • Field observations • Review of project reports and documents
c) How can the impact be improved?	<ul style="list-style-type: none"> • List of Suggestions. 	<ul style="list-style-type: none"> • Reports • Field assessment for evidence • Talking to beneficiaries 	<ul style="list-style-type: none"> • Focus group discussion • Field observations • Review of project reports and documents

Annex XII: ITCP Steering Committee members.

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Annex XIII: Project Board Members.

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Annex XIV: CONTACT DETAILS OF THE MEMBERS OF REGIONAL CLIMATE CHANGE FORUM (RCCF)

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30	BERNRAD MUJASI	MBALE DISTRICT LOCAL GOVERNMENT	DISTRICT CHAIRPERSON		

Annex XV: Mbale TACC project small grant recipients and Supported Activities.

Community Based Organisation	District	Project Title	Achievements
Elgon Education Foundation	Manafwa	Elgon Education Project-Save the Mountain Elgon	40,000 assorted tree seedlings raised and planted on Bukusu hill for rehabilitation of the degraded hill and by the surrounding communities
Kitsi Farmers NGO	Manafwa	Kitsi Farmers Agroforestry Project	76,442 agroforestry trees raised and planted by coffee farmers
Community Integrated Health Organisation	Mbale	Environmental conservation mechanisms and measures to combat climate change pressures in Busui sub-county	40,000 assorted trees planted in Busui sub-county
Bunefule HIV/AIDS Initiative	Manafwa	Agroforestry to mitigate and adapt to climate change	2125 coffee seedlings planted by 12 farmers (7 male & 5 female) 48 farmers supplied with grafted fruit trees (400 mangoes, 400 oranges, 923 paws, 726 avocados) and 11,076 assorted trees (<i>Maesopsis eminii</i> , <i>Grevillea robusta</i> , <i>Albizia</i> , <i>Cordia milleni</i> , Mahogany and jackfruit)
Bupoto Natural Resources Management Initiative	Manafwa	Namisindwa Heifer Project	18 households were supplied with an improved cow each after establishment of fodder bank and housing unit for the animal as a livelihood improvement option
ShunyaYetana CBO	Bududa	ShunyaYetana Coffee trees and Stove project in Nakatsi Parish	10,000 coffee trees distributed and planted by farmers together with 5000 agroforestry trees 50 households supported to construct and use energy efficient cook stoves
Budwale Honey Enhancement and Development Project	Mbale	Budwale Tree Planting Project	75 farmers were supplied with and planted 40000 assorted trees on their land as a measure increase tree cover and access to firewood and other tree

Community Based Organisation	District	Project Title	Achievements
			products with the objective of reducing encroachment on the National Park forest reserve
Bushikori Christian Centre	Mbale	Community Sustainable Tree Planting Initiative to increase the greening of Bubirabi parish	600 farmers and 3 schools facilitated to plant 70,000 assorted trees on their land including planting as shade trees, boundary marks, woodlots and intercrop with other crops
Elgon Farmers Association	Bududa	Agro forestry and sustainable livelihood for Busiyi sub-county	120 households supported to construct and use energy efficient cook stoves. 30 households, 10 schools, 1 health Centre and 1 church supplied with and planted 10,000 Gravelia trees
Wesakulira Development Project	Bududa	Apiary and tree planting project	24 households were facilitated with 50 <u>bee hives and necessary gear to engage in bee keeping as an income generating activity</u> with the aim of reducing pressure on the forest resources within the area. 102 households were supported with 15,000 assorted trees to plant as woodlots to address the demand for wood products in the area.
SitoboFal Group	Manafwa	Sitobo FAL group- Agro forestry project	50 households were supported to plant 50,000 trees on their land to increase tree cover and enable farm families to meet their tree needs
African Rural Development Initiative	Manafwa	<u>Alternative energy promotion and tree planting</u>	267 households were supported with 100 solarsun cook kits as alternative source of energy for cooking, 100 hay baskets and 100 energy saving stoves. In addition the households were supplied with and planted 10,000 trees as sustainable source wood fuel.
Nabweya Parish Devevelopment Association	Mbale	Tree Planting and Sustainable Livelihoods for Climate Change Adaption project	1000 grafted mangoes distributed to 50 households, 30,000 assorted agroforestry tree seedlings distributed and planted by 141 households 24 local and 6 exotic goats distributed to the most vulnerable members of the community for livelihood improvement
Babuka Development Trust Uganda	Mbale	Agroforestry and soil conservation	10,777 Arabica Coffee seedlings distributed to 65 farmers 15,000 Calliandra seedlings planted to stabilise contours along the farming

Community Based Organisation	District	Project Title	Achievements
		project	slopes for 65 farmers Assorted fruit tree (210 pawpaws, 121 grapes and 20 grafted mangoes) planted as demonstration garden on agroforestry for soil and water conservation, 12,500m of contour hedgerows established by 41 households
Kaato farmers Marketing Initiative	Manafwa	Soil Erosion Control and Tree Planting for Climate Change Mitigation	50,000 assorted agroforestry tree seedlings distributed to 217 farmers <u>1,4760m of soil bands stabilized</u> by tree established on farming land for 65 farmers
Buduada Evangelical Friends	Dududa	Rehabilitation of the environment and <u>livelihoods restoration for the landslide victims</u>	<u>Planted 40,000 trees torehabilitate the landslide affected area</u> Distributed goats to 56 landslide victims as part of livelihoods restoration programme
When Rain Fails	Bududa	Conserve Nature by <u>Strengthening Resource Management Committees and Promoting Good Environment Practices</u>	2 Village Environment Committees were established and trained on their roles 141 households were empowered to construct and use fuel efficient stoves using locally available materials. The initiative has since led to more households making and using the technology to reduce the time spent to look for firewood as well a smoke free kitchen 6 most vulnerable households were provided with <u>biogas systems for cooking and lighting</u> . This has gone a long way in reducing the burden of looking for firewood and paraffin for those vulnerable families. <u>Climate change essay competition was organized with theme” Children as stewards of environment management”</u> . 21 children participated from 21 schools in Bududa district. Best essays were recognized with prizes.
Mutoto Tree Planting Association	Mbale		Distributed 10,000 coffee seedlings with agroforestry trees to 50 farmers. This is a move to promote <u>climate smart coffee production</u> . 50,000 tree assorted tree seedlings distributed and planted by farmers
Uganda Joint Women	Mbale	Briquettes save	Supported 4 women groups each comprising on average 10 members with

Community Organisation	Based	District	Project Title	Achievements
Association			the environment	<u>simple briquette making equipment</u> like molding kits, racks, presses and crashers to make briquettes from waste materials. Women in the slum areas of Mbale Town were trained in <u>making briquettes to clean up their environment (recycling)</u> but also as an <u>income generating activity</u> . Women are able to make and sale at least 15000 a month an equivalent to UGX 100,000 when working for only 3 days in week for a maximum of 4 hours a day.
Youth Ending Hunger Association		Manafwa		Supported 7 vulnerable members of the community with <u>heifers and biogas systems</u> as clean source of energy for cooking and lighting and <u>use the waste from the biogas system as manure</u> in their gardens that have lost soil fertility due to soil erosion. Distributed 1000 <u>agroforestry tree seedlings</u> to 30 households in a move <u>to curb soil erosion and loss of soil fertility</u> that has increased the community's vulnerability to climate change effects.

Other partner

- Ecotrust- Participating in carbon finance schemes
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Annex XVI : Follow ups from MTE recommendations.

Recommendations	Response by	Comments on progress made	Reasons for diversion
4.3.1 Corrective measures for design, implementation, monitoring and evaluation.			
Design			
Targets as reported in annual and quarterly reports need to be kept as per the approved revision (Revised Result and Resource Framework at inception). It was noted that the targets have changed again in the 2011 annual report, including introducing targets that refer to phase 2, which is not appropriate.	PMU, Implementing Partner	Every effort has been made to stick to targets in Phase1; (putting in place ITCP, and the pilot projects implemented)	
Implementation			
Strengthening the institutionalization of planning structures and defining the role of ITCP Steering Committee in implementation of the Plan to strengthen ownership and avoid the perception that the project has low sustainability in that when funds stop activities stop	PMU, ITCP Steering Committee	<p>The ITCP Steering Committee (SC) performance has been very well in 2013 and the last part of the TACC project focused on continuity; however their continuity in 2014 onwards is not very clear. Originally its mandate was to provide technical and oversight guidance to the districts during the ITCP development. At this transition phase, the challenges being faced by the ITCP SC are due to limited facilitation and funding from the district. With multiple stakeholder representation from the 3 districts and other statutory bodies' substantial resources needs to be allocated. Also important is for the ITCP SC is given a new mandate with clear terms of references for them to get involved in ITCP implementation.</p> <p>Nevertheless, for post TACC project, the Climate Change Focal person for Mbale District (DEO) will take over TACC facilities and work with the other two focal persons on Manafwa and Bududa Districts in keeping the candle lit by TACC project burning. They will be in the forefront of identifying partners and resources for implementing the ITCP</p> <p>And for the RCCF, "participating organizations have pledged to</p>	

Recommendations	Response by	Comments on progress made	Reasons for diversion
		support their representatives to participate in the Regional Climate Change Forum with financial support from own funding source” source: District Environment Officer Manafwa. However what is needed is for some form of commitments or agreement to be signed by the different parties.	
Strengthen the supervisory role of district staff for project actions (small grants) based on interventions (e.g. a supervisory role for the planner, district entomologist, CDO). Since most small grants are winding up this may, this be more of a recommendation for phase 2.	PMU, Implementing Partner	<p>Efforts have been made to bring on board more district staff to implement TACC initiated projects in all the 3 district through joint monitoring programs involving relevant sector heads</p> <p>However, the key people in each of the 3 districts with the most knowledge on TACC project are the CAOs and Focal Person (DEOs) and are the most aware compared to other sector heads. Awareness have been created but not to the level of all participating and accepting ownership.</p> <p>Nevertheless, better involvement and strengthening of supervisory role of district staff is assured when the ITCP has been integrated in the DDP (2015/16-2019/20).</p>	
Strengthen training at the local level (according to capacity needs assessment), including elements of land use planning within carbon project development.	PMU	Project document recommended minimal training. However, during implementation of the SGP and carbon finance, the technical staffs from the 3 districts were use to train and technically backstop the farmers.	
Review the implementation modality of the communications strategy and define initial delivery. Ensure the dissemination of project materials to involved stakeholders.	PMU	<p>Communication framework for Mbale Region TACC was developed and materials produced are on the website and is being managed by CCU (not user friendly to local stakeholders who do not have access to internet).</p> <p>However, few printed versions are available and the level of dissemination is limited (mainly through workshops). All prints are in English and hence limiting knowledge dissemination to the local communities who cannot read and write in English</p> <p>The use of radio (8 with funding from TACC project) has take off well with some radio stations now</p>	

Recommendations	Response by	Comments on progress made	Reasons for diversion
		offering 1 hour (free airtime) to discuss environmental issues (E.g. Open Gate FM on every Wednesdays from 8:00-9:00pm and Signal FM on every Sunday from 9:00-10:00am)	
Pay attention within carbon project development criteria, including the need for dissemination of information and provision of application forms/contracts in local language.	PMU, ECOTRUST	<p>Included in the new criteria are definition and summary pages.</p> <p>Information for dissemination will have economic and social implications facts and figures.</p> <p>The issue of providing contract in local languages is under critical review due to challenges of translating English documents into local languages being experienced these days so that the original messages are not distorted.</p>	
Sensitise district leaders on the role of carbon projects and social safeguards applied, and involve them in the design and approval of the projects to avoid contradictory messages.	PMU, ECOTRUST	<p>Designing of training manual for training District Local Government (DLG) staff and other stakeholders is completed.</p> <p>2 training of DLG staff in the 3 implementing districts were done. Issues covered include definitions relevant to Carbon finance and climate change, role of carbon schemes in climate change adaptation and mitigation, linkage of the carbon scheme to other climate change projects and the role of DLG in recruiting farmers, reviewing, undertake prove of land tenure and recommending to ECOTRUST those who could benefit from the carbon project</p> <p>Exchange visit to Rubirizi and Mitoma (formerly part of Bushenyi) districts, helped the Mbale TACC carbon farmers, technocrats and politicians have hands on experience of integrated nature of carbon scheme as articulated by the farmers visited.</p>	
Strengthen the capacity of CSOs to lobby for additional funds/technical support including training in proposal writing if not already delivered.	PMU,	Although it was not part of the project design, efforts have been made by district technical team (Natural Resources, Environment, Forestry, Agriculture, Community development, Finance) to help CBOs write fundable proposals relating to climate change.	
Explore the possibilities for amendment of contracts for	PMU, Implementing	Amending the NAADS contract cannot be guarantee since NAADS	

Recommendations	Response by	Comments on progress made	Reasons for diversion
NAADS service providers to integrate CC adaptation issues, and the requirement for district technical staff to monitor and check this is complied with before payment to the service providers. This has already been done in some districts, such as Kasese, and there is some awareness at the level of NAADS Secretariat on this need - although the NAADS Secretariat needs to be contacted to obtain some official direction on the initiative.	Partner, Project Board	<p>guidelines does not provide for CC integration. However, one can influence the direction of the contract guided by provisions in the National Agricultural Policy (2011) and the Development Strategy and Investment Plan (DSIP) 2010/11-2014/15.</p> <p>It is important to note that in the NAADS contract, environment, HIV and gender were mainstreamed. But with intervention of TACC, climate change is now in the process of being mainstreamed and hence the opportunity for influencing service provision in the NAADS contract.</p> <p>On the other hand, there is a need to address this issue at policy level with directives coming from Ministry of Agriculture Animal Industries and Fisheries (MAAIF)</p>	
UNDP, MWE and MoLG should provide more pro-active assistance to facilitate the project implementation, particularly links with national policy development and other projects under UNDP implementation, such as EBA.	Project Board, UNDP	UNDP tried to pro-actively assist facilitate project implementation particularly through integrating project information during the process for national climate change policy development process. For instance, UNDP provided information regarding the TACC project during the process of formulation of the National Climate Change Policy. UNDP also encouraged the Project Manager to present key outputs of the TACC project during several development partner and Sector Working Group meetings.	
Strengthen linkages with partners involved in synergistic activities, such as Mbale CAP officers implementing tree planting and NAADS service providers to avoid duplication.	RCCF, PMU	<p>Different levels of progress have been made at each of the 3 districts. There are many upcoming activities in the Mt. Elgon region being implemented and are related to climate change where synergy will be employed by the district local government courtesy of lessons from TACC:</p> <ol style="list-style-type: none"> 1. Nile Basin Initiative - Sio Malaba Malakisi River Basin Program - implementing a Sub Catchment Management Planning for the River Lwakhakha/Malaba Catchment shared between Uganda and Kenya 2. Mt. Elgon Regional Environmental Conservation 	

Recommendations	Response by	Comments on progress made	Reasons for diversion
		<p>Program (MERECP) - promoting collaborative Forest Mgt for the communities living adjacent to the national park</p> <p>3. Resilience Framework to Climate Change (RFCC)- IUCN – promoting conservation of the catchment through the environmental conservation fund</p> <p>4. Resilience Africa Network - affiliated to the School of Public Health, Makerere University, aimed at improvement of the adaptive capacity of communities in flood prone areas of Manafwa District.</p> <p>5. WWF - implementing a project in Sustainable Environment and Natural Resources Management through support to groups to implement activities that are geared towards mitigation, adaptation and livelihood improvement</p> <p>6. Uganda Red cross Society - implementing projects to improve the resilience of communities along River Manafwa and degraded hills.</p> <p>Also of importance to note is that Mbale CAP adopted the Mbale TACC guidelines for fund disbursement to their CBOs and to complement each other Mbale CAP took TACC groups for bee keeping training in processing honey for international markets (Mid 2013)</p>	
The project needs to circulate a Meetings Calendar so that national level stakeholders such as CCU can plan to attend meetings: participation otherwise compromised by other engagements.	PMU	This has been done (giving 2 weeks' notice) whenever there are meetings. However, participants from CCU are most time on the move for different CC world conferences and hence would not attend the meetings.	
The PMU needs more flexibility and independence in financial planning and procurement to work effectively and minimise on the long delays in procurement (consider raising the minimum contract amount that the Implementing Partner can sign for directly).	UNDP	Mbale District Local Government was free to procure on behalf of the project using Government of Uganda Public Procurement and Disposal of Assets Laws and Regulations but preferred to request UNDP to undertake most of the project procurements.	All project procurements undertaken by UNDP were done upon request by Mbale DLG through the approved Procurement Plan as provided for by the UNDP Programme and Operational

Recommendations	Response by	Comments on progress made	Reasons for diversion
			Policies and Procedures (POPP).
The project should minimise expenditure on workshops and maximise on community level interventions.	PMU	While the project was designed to undertake several workshops due to the several studies and learning activities, in addition significant amounts of project funds were also allocated and spent on community initiatives like Small Grants Scheme, Improved Cook Stoves and Agro-forestry activities.	The main objective of TACC project was to enable the Mbale region comprising the 3 Districts of Mbale to establish a low carbon and climate change resilient development. One of the key outputs of the project was preparation an Integrated Territorial Climate Change (ITCP) to help integrate Climate change adaptation and mitigation into regional planning. This process required to undertake several studies, meetings, exchange visits and training activities.
The project should pay more attention to gender equity and document it.	PMU	Gender mainstreaming was silent in the project document. However, using the UNDP gender mainstreaming guideline efforts have been made with limited success (2 women groups accessed UNDP-SGP) due to the culture in the region. No documentation of gender equity has been done.	
Monitoring and evaluation			
Strengthen the role of MWE / CCU and UNDP in monitoring and quality assurance.	Project Board, UNDP	<p>The Ministry of Water and Environment representatives on the Project Board were involved in a joint monitoring visit for the project.</p> <p>CCU is expected to monitor any climate change programs and provide quality assurances. Initiations were received from Mbale TACC, but due to very many commitments on the few staffs at CCU some of the monitoring and quality assurances meetings were missed. Nevertheless, any information got from Mbale TACC by CCU is filed and used to promote TACC approach to wider stakeholder. This role is assigned to</p>	

Recommendations	Response by	Comments on progress made	Reasons for diversion
		Head of outreach monitoring. UNDP staffs have been to the field guided by the work plan and budget for the financial year in operation.	
Synthesise NAPA pilot projects feedback/interaction from CCU so that what is done under TACC is fitted within and inform the national planning framework.	Project Board, PMU	The NAPA pilot project case studies (from 4 districts) were used during the development of the ITCP. Lessons from hilly areas (Bundibugyo District) and lowland areas (Palisa District) were used. However, lessons learned from the development of the ITCP has also helped in the improvement of the planning frame work especially the DDP.	
Capture TACC innovations in sector performance reports.	Implementing Partner, Manafwa and Bududa DLGs	This has been done for production and natural resources sector and came about as a result of the field monitoring activities and are always reported as “off budget” projects. The district gets its monthly briefs on level of implementation and number of beneficiaries. Ministry of Local Government gets the quarterly reports Mbale DLG has allocated 7 Million shillings this FY (2014) from PRDP fund to support some recommendations in the ITCP	
4.3.2 Action to follow up to reinforce initial benefits from the project			
TACC should participate in the NCCP national validation conference planned for 13 th December 2012.	PMU: CCU will send an invitation	TACC participated in the National Climate Change Policy (NCCP) validation conference in December.	
GOU should consider an increment above district budget ceilings specific for climate proofing of the district interventions in different sectors, given that CC is cross-cutting.	Project Board	CCU has produced a draft implementation strategy for the National Climate Change Policy (NCCP) with indicative financial figures over a 15year time frame divided into 3 five year plans covering all the relevant sectors. The implementation strategy (together with NCCP) was approved on 13 th December 2013	
Strengthen involvement of local education institutions in CC activities/dissemination.	Implementing Partner, PMU	In Mbale district, there has been little involvement of tertiary institutions; Uganda Christian University (ITCP committee) and Islamic University in Uganda (RCCU). The universities expected to be more involved in research work and consultancies but since the main design of the project was to	

Recommendations	Response by	Comments on progress made	Reasons for diversion
		<p>deliver ITCP with limited community activities.</p> <p>In Bududa, school children and teachers were involved in essay competition writing courtesy of one of the CBOs (When Rain Fails) that benefited from UNDP-SPG Grant.</p> <p>In Manafwa district, involvement of educational institutions did not take off because of the nature of the design of the project (limited community activities). However, better performance will be recorded with the ITCP is integrated within the DDP</p>	
Work out a modality for the ITCP to be owned by the 3 local governments and take a responsibility in implementing it, in association with the ITCP Steering Committee which should transform to an ITCP Implementing Committee.	ITCP Steering Committee	Many discussions were held on the best options including option of districts cooperating through regional tier arrangement (but were not found politically acceptable). Other options included strengthening the MoU similar to the arrangement between Mbale CAP and the District Local Government and having a secretariat run by professionals to address CC issues in the ITCP for the whole of Mt. Elgon in Uganda.	
Provide political leaders with information needed to get CC embedded into the district budgeting cycle, perhaps through special council sessions prior to annual budget approvals.	Implementing Partner, PMU	This has been done through workshops and delivery of printed materials to their offices	
The project should prepare project briefs for marketing phase 2 of the project, as instructed by the Project Board.	PMU	The short/popular version of the ITCP has been used in different development partner meetings (Climate Change Thematic Group, Environment and Natural Resources Donor Group and Joint Sector Review meeting of Ministry of Water and Environment) to market phase 2. The following organizations attended the meeting; World Bank, FAO, USAID, NORAD, DFID, JICA, GIZ, UNDP	
Strengthen the role of the ITCP Steering Committee to coordinate investment packages, and to develop a greater lobbying power through links with MWE / CCU.	ITCP Steering Committee, PMU	MWE already in the board and CCU in ITCP steering committee.	
Commence implementation of the Communications Strategy. Possible ways of doing this are a) hire a communications assistant for 4-6 months to rationalize and	PMU, NGOs, educational institutions, etc.	No one was hired as communication assistant due to limited funding. The communication documents produced have been handed over the District Information Officers of	

Recommendations	Response by	Comments on progress made	Reasons for diversion
implement key elements of the policy, or b) quickly identify partnerships that can assist in implementation		implementing partner for use by all departments, sectors or NGOs/CBOs.	
4.3.2 Proposal for future directions underlining main objectives			
Consider keeping a broad approach to CC adaptation/mitigation to try to avoid compartmentalizing in production and ENR sectors.	Implementing Partner, Manafwa and Budada DLGs	This is being successfully done in all 3 districts. This was clearly noticed while undertaking consultation with the district technical and political leaderships. There is clear awareness that climate change affect many sectors and it does not respect political boundaries.	
Water harvesting should be retained as options within the ITCP for water stressed areas (e.g. lower and upper parts of Manafwa and upper slopes of Bududa). The ITCP should consider options for including means of improving water supply for production (small scale irrigation, small dams, etc.)	ITCP Steering Committee	It was difficult to retain water harvesting options at the time as the pilot could neither be part of carbon finance scheme nor as adaptation through Small Grant because of the very low nature of funding of the small grant.	
Look for ways of re-establishing links with parallel projects such as the Welsh supported tree planting funds through Mbale CAP, NAADS, the EBA project. The on-going establishment of the wider forum, the MECF, may assist with this.	Implementing Partner, PMU	<p>At the start, the working relationship between the Welsh supported projects through Mbale CAP and Mbale TACC was not good but with time there were improvement although Mbale CAP has not completely come on board the Mbale TACC project.</p> <p>The continuous engagement by TACC PM and standing the ground on following guidelines and not being swayed by politics of project management and local political self interest helped bridging the gaps.</p> <p>In the near future, there is a need to have one Mt. Elgon Forum (involving all districts of Mt. Elgon) with a secretariat run by professionals to coordinate and manage the affairs of the region. Partners like Red Cross, ECOTRUST, IUCN, UNDP, DLG could contribute fund for the secretariat.</p>	
Look at better ways of designing small grant projects as branded CC adaptation/mitigation projects (a lesson for phase 2). Options would be: •First ask 'are the issues leading to	PMU	While it is true that the initial small grants were not well targeted due to their no-regrets and fast track nature, the subsequent grants were well targeted to address the most degraded areas and try to achieve	

Recommendations	Response by	Comments on progress made	Reasons for diversion
<p>the proposed interventions addressing climate vulnerability’ – does the intervention have a direct effect or contribute to a chain effect?</p> <ul style="list-style-type: none"> • How cost effective is the intervention (e.g. per \$ of investment how much carbon is sequestered, although this may be difficult to work out). • Consider the geographical position of the intervention: projects should be sited in areas of maximum degradation and CC impact. For example, interventions might be sited close to the National Park and help to address degradation issues. • Consider the following areas of intervention in particular: promotion of effective livelihoods in response to climate change, promotion of effective Community Forest Management for communal lands, focus on sustainable land management embracing water and energy needs. 		output 4 “Climate change policy and investment package formulated, i.e., a portfolio of CC adaptation and mitigation policy and investment projects to be implemented by combining and sequencing different financial opportunities” through Agro-forestry and Improved Cook stoves implemented by ECOTRUST	
Similarly, in defining criteria for beneficiaries of carbon projects, the farmers should first be asked what their reason for wanting to grow trees is? Their answers may include growing trees for timber to get income, improving soils, storing carbon, etc. The farmers that can articulate the issue of carbon sequestration are the ones who should be targeted.	ECOTRUST, PMU	Farmers have been asked the reasons why they intend to plant trees and in Mt. Elgon Region, shed for coffee has been priority number one, followed by soil stabilization.	
CCU should be assisted to develop strategies that help disseminate the TACC lessons at national level and to other districts for implementation as part of the process for rolling out the NCCP.	Project Board	This has been done. CCU is helping with disseminating the document and has approached COMESA to pick out support for the Mbale Region from the ITCP. The ITCP document will also be used to prepare for proposals called for by the Ministry of finance to support climate change adaptation in 2014	
Policy aspects of phase 2 should focus on the development and implementation of ordinances, bye laws and guidelines for practical climate change adaptation and mitigation.	ITCP Steering Committee, PMU	Recommended for the phase II.	
The original target of holding a donor meeting to input into the	UNDP, Project Board	The initial donor meeting was convened to address a	Following the first meeting, this issue

Recommendations	Response by	Comments on progress made	Reasons for diversion
development of the investment packages, which has been dropped from recent reports, should be reinstated and the meetings held. The project needs to document the likelihood of further donor investment into a possible phase 2.		communication gap that existed among donors to the project namely UNDP, Wales Assembly Government, DFID and The Royal Danish Embassy.	was addressed and the Project Board meetings were found adequate to handle this issue.
The project should realize the potential of TACC in providing an opportunity for using and analysing upstream - downstream relations and the impacts of climate change.	Project Board	Awareness on climate change includes upstream and downstream relation in relation to climate change.	

Annex XVII : References Reviewed.

- Project Document
- Revised Logframe
- MTR Report
- Capacity Development Action Plan
- Feasibility Assessment for tree plantation carbon finance-Socio-economic Assessment
- Feasibility Assessment for tree planting scheme –Biomass Assessment
- Mbale TACC –Mt Elgon tree Carbon Scheme extension Project Design Document
- TACC Mbale Adaptation and Mitigation Options-Policy brief
- TACC Mbale CC Adaptation and Mitigation Options and Opportununity Report
- Training Report on Climate Change risks and opportunities –Rock Hotel Tororo
- Training Report on Climate Change risks and opportunities –Mt. Elgon Hotel
- Training Report–Final on Mainstreaming Climate Change in District Development Planning Process
- Capacity Development Action Plan
- Integrated Territorial Climate Plan (ITCP)
- Mbale TACC Annual Report 2013
- Risk log 2011
- Risk log 2012

Annex XVIII: Innovative approach to Private sector led financing models to address CC adaptation and mitigation

The following are possible options for private sector involvement in financing climate change adaptation and mitigation activities:

1. Own financial contribution matched by specified percentage of grant.
 - i. SPGS (Saw-log Production Grant Scheme) model to support medium & high income earner establish medium-large Afforestation/reforestation programs
 - ii. FIEFOC (Farm Income enhancement and Forest Conservation project-AFDB/NDF funded) model to support community groups/individuals of low income earner to support agroforestry and woodlots establishment
 2. Bank loan to supplement own finance
 - i. Short term working capital through commercial banks (good for value addition, transport and marketing)
 - ii. Long term investment capital through development banks (good for primary production e.g. agroforestry establishment and plantation establishment (for transmission poles and timber)
 3. Equity fund as part of investment cost. Funding sources could come through:
 - i. Mutual trust fund contributed by group members guided by SACCO (Saving & Credit Cooperative) principles and framework
 - ii. On and off shore venture capital fund
-
1. **Grant (provided by development partner/government) for Community group support (adopted from FIEFOC model)**
 - a. The approach is good for supporting low income earning individuals with a CBO or local Cooperatives.
 - b. A simple investment/business plan is produced
 - c. Grants are disbursed in form of planting materials or inputs spread over 2-3 years
 - d. Provision of planting materials and inputs are private sector led with all tree nursery operators selected through competitive bidding. Preferences are given to certified nurseries (that meet minimum requirement for quality, quantity and capacity to deliver seedlings to farmer at the required time)
 - e. Individual provides land and labour
 - f. Group participation is essential for mobilization, awareness raising, planning and training
 - g. Planting and management of crops/animals is done as individual beneficiary so as to eliminate “free riders” and also to guarantee tenure rights.
 - h. Providing on farm technical backstopping (through issue based/tailored mentoring program) for 1-2 years
 2. **Grant (provided by development partner/government) to supplement use of individual/company resources/savings (adopted from SPGS model)**
 - a. This approach is good for middle to high income earners or companies.
 - b. The grant support could be 40-60% of total establishment costs depending on the type of enterprise. Establishment period may range from 1-3 years
 - c. An investment/business plan is produced (with clear discounted cash flow)
 - d. Strict guidelines and standards to be met during implementation are produced. This will help during monitoring, evaluation and quality assurance.
 - e. The individual/company invest up front within the first 6 months using own resources to show commitment.
 - f. Inputs and planting materials are to be procured from certified private sector led sources only. This is to help with following the chain of custody.
 - g. Provide technical backstopping (through issue based/tailored mentoring program) as part of the grant provision. The investor could co finance some of the training costs.

- h. Reimbursement can be given 3 times (50%:30:20%) over the establishment cost period with the first one being done after 6-8 months.
- i. Quality assurance and close monitoring to be undertaken before reimbursement is made.

3. Bank loan (from commercial and development banks) and cash guarantee from development partner to supplement individual/company savings

- a. This approach is good for high income earners and companies.
- b. The bank provides the loan, a development partner provide the security in form of cash guarantee to the bank (to take care of risks in primary production in an event the debtor fails to settle the loan due to circumstance beyond his/her control) and the borrower provide additional funding.
- c. The borrower (investor) produces an investment/business plan (with clear discounted cash flow)
- d. Strict guidelines and standards to be followed during implementation are produced. This will help during monitoring, evaluation and quality assurance.
- e. Total amount of loan to be given is agreed (different repayment options should be provided)
- f. Interest rate to be agreed. It is important to use low interest rates (2-3% above inflation rates) than commercial rate (currently at 10-14% above inflation rate) because investing in Climate change supported intervention is long term and it provides environmental services to the wider communities though the work is being done by an individual entrepreneur.
- g. Grace period before repayment is agreed (2-10 years?) depending on the type of crops or enterprise to be funded. For example 2 years for agroforestry with coffee mix, 6-10 years for pole and timber trees. Note that the low interest rate and the long grace period are to help with “paying for” the environmental goods and services being provided by the investment.
- h. Loan disbursement period is agreed - within the different year(s) to handle critical operations like procurement of quality planting materials, fire management and weed control to mention but a few. This is because of the long term nature of investing in environmental business
- i. Currency used for calculations should be fairly stable (e.g. US\$). However payment is made in UGX equivalent using Bank of Uganda dollar rate of the day (at the time of loan disbursement or loan repay). This approach is commonly used with UN agencies and development banks like AfDB.
- j. Provide technical backstopping (through on farm/forest issue based/tailored mentoring program) to be provided by the bank. The investor could co finance some of the training costs.
- k. Inputs and planting materials are to be procured from certified sources only. This is to help with following the chain of custody

4. Equity fund (provided by mutual trust fund or through on or off shore venture capital fund) to supplement individual/company resources/savings

- a. Investment principles and value chain should promote **GREEN Enterprise Development** (Environmentally friendly, socially acceptable, economically profitable and legally binding/acceptable)
- b. The following could be the investment options (Agroforestry; agriculture/agribusiness; forestry/tree planting; animal industry; fisheries; wildlife/tourism; renewable/alternative energy) etc.
- c. The source of equity fund is either through mutual trust fund or venture capital
 - i. The use of mutual trust fund locally generated through SACCOs is good for low to middle income earners (small scale)
 - ii. The use of bigger venture capital fund (nationally or internationally generated through capital markets or security exchange) is good for high income earners/big companies.

- d. Mobilizing of the venture capital could be through:
 - i. Savings for Green enterprise from members of CBOs/groups/cooperatives (designated for investment and could be a % of total savings within the SACCO)
 - ii. Group saving for investment (with SACCO) passed to a **GREEN FUND** (Registered within Uganda)
 - iii. On and offshore capital venture fund
 - iv. Grant and or long term loan from Development partners, development banks or Government
- e. Targeted audiences for mobilization and use of venture capital fund
 - i. Small holder farmers/family members (organized in green farmers/family association). Number per farmers/family association can be determined; 10-30 could be tried out
 - ii. Salary earners (organized in green investment clubs). Number per club can be determined; 4-30 could be tried out
 - iii. Business persons/organizations (organized as green entrepreneur club – 4-20 members).
- f. Contribution can be done on weekly, by weekly or monthly basis. The amount to be contributed per sitting has to be agreed upon. The smallest unit to be contributed is determined and is guided by income bracket. It is important to agree on the smallest unit of contribution (e.g. 5,000/=) and whatever amount is contributed by individual/groups/businesses will be converted into the number of smallest unit (translated into shares). Return on investment per person/group/organization will be determined by the number of shares provided.
- g. Accessing the equity fund could be through microfinance bank at an agreed interest rate. Lower rates for primary production is proposed than for value addition and marketing because primary production helps with climate change mitigation and adaptation.
- h. Possible interest rate should range between 1-4% above inflation rates (to take care of profits & management costs) and payment period could range between 3-10 years depending on the rotation period of the crops/trees planted. The percentage for risks could be borne by contributions from development partners or Government so as to lower the general interest rate. At the moment Commercial interest rate in Uganda stands between 18-24% will inflation rate standing at 9.5%. Therefore risk rate is too high and currently standing between 8.5-14.5%.
- i. There is a need to put in place a team of expert and organizations to run such venture capital fund management to help with project assessment, improvement, undertaking training & guidance etc. to ensure linkage to green entrepreneur value chain (primary production, processing and service provision like transport, marketing etc.)
- j. This approach will require working very closely with the following organizations within the country
 - i. Bank of Uganda (to regulate custodian banks),
 - ii. Custodian banks to provide the loan through microfinance scheme
 - iii. Investment management/administration companies (for quality assurance, M&E and reporting)
 - iv. Investment manager (to invest parts of the income/savings in Capital Markets-Security exchange as a way of earning additional fund. This can be done in less risky area like Government bond or companies listed in the Uganda/East Africa Security exchange markets which are regulated by Capital Market Authorities).
 - v. Investment trustees locally registered in Uganda (initiator, representing the interests of Ugandan investors - members of the Green Enterprise Development groups and provider of part of the green investment fund).
- k. Value addition and chain of custody within the equity fund arrangement with all of them working together:
 - i. Farmers/family member are the primary producers (trees/crops/animals)
 - ii. Salary earners/working class are part of the processing sector

- iii. Business owners are part of the processing, transporting and marketing sector of the value chain.
- 1. It is very important that investment and finance education is brought into the picture at the earliest stage (inception and design stage). There will also be a strong need for the green investment clubs, green farmer/family association and green entrepreneur clubs to meet regularly to review performance of investment on the ground, any opportunities available and the meeting is to be conducted in a transparent way.

Note that there are other options like **Endowment fund** (similar to the Bwindi& Mgahinga “Gorilla” Trust fund) that could be explored. However, for the 4 proposed above, there is a need to undertake detailed study to find out the best alternatives to select from. Also of importance is the study of the use of different platforms (electronic data management & transmission and banking) to help with running and managing these innovative approach to financing CC Mitigation and Adaptation.

Annex XIX:COMMENTS FROM TACC VALIDATION WORKSHOP (28/1/2014)

Comments/Suggestion	Response from TET
Comments/Suggestions from validation workshop	
1. Uganda Wild Life Authority (UWA) undertook to provide working space (a venue) for the continuation of the Regional forum meetings (RCCF). A written undertaking is to be submitted to the Chairperson.	Information added in the Institutional and Governance risk analysis section of the report.
2. The Regional tier government is not popular for implementing the ITCP due to different political interests in the different districts (refer to 34 on page 11). An agreement (MoU) similar to what Mbale CAP has for Mbale region could be used since it has been tested and found successful.	Information added to the report.
3. Technical lessons have not been captured in the report (pages 40-42) and needs to be included in the report.	Already some technical lessons were included in the draft report. More technical lessons added in the report.
4. The monitoring and evaluation was carried out by few UNDP and DLG staff members but they tried their best and it was not an easy task because of the nature of the terrain. This is in comments on project implementation (refer to 60 on page 16)	This justification included in the report.
5. Agreed with observation about wrong spacing of some trees species. (Reasons for spacing of <i>Grevillea robusta</i> and <i>Maesopsis eminii</i> , e.g. for later thinning for beans stake, were not accepted because of the wrong species used. The importance of species selection and the functions they are being planted for needs to be emphasized in the next project implementation.	Already recommended to emphasize species selection and use in the future project implementation.
6. There is need to cross check the statement on DANIDA future funding. Mainstreaming of Mbale TACC project on p. 26 section 95 (From Arun Skype report) some of the statements are not accurate. DANIDA has stopped project mode support. All funding will be through a joint partnership managed by the Ministry of Finance, Planning & Economic development, the Ministry of Water and Environment and the Donors. The funds will be transmitted through the District grants. DANIDA will remain the main donor.	Statement on DANIDA interest is edited.
7. DFID is also interested in partnership model for implementation of CC program	DFID interest added in the report (catalytic role & replication section and Financial Risk

especially in the field of forestry and water sector. Funding will most likely target market based model for upland areas and DDR for flood plain (lowland). There will be no likelihood of direct funding of phase 2 of TACC. DFID would also be interested in Local Government Capacity Development ...	section).
8. The political correctness of statements in the report need to be cross checked. For example. For example, where there was co-financing by a Development partner, the component financed by the Donor needs to be recognized in the report. In this case the WAG component needs to be reflected in the project because the 1 million trees were planted in the region. (See 42 on page 13 and correct this statement) “ ... Project design expected close coordination with Welsh funding, particularly activities funded by Waterloo initiative, but the Waterloo one million trees programme seems unconnected with the project”.	Correction made.
9. On financial assessment (ref 62 on page 16) add the argument that ... “However, if spending on output 1-5 is combined (as each has been complementing the other), then their spending totals to 70.9%” which is good.	Suggestion added.
10. The final report needs to be edited	Editing done.
11. The legal framework of ITCP has not been finalized. How do we tie this up?	Recommendation made in paragraph 33 and 159.
12. On page 25 sections 90, note that only 4 and not 6 districts were used for the NAPA pilot.	Correction made.
13. On the issue of gender equity (refer to 110 on p. 29) ... Future projects should look at youth, the elderly, widow & widower, vulnerable groups (HIV+ persons) as part of gender equity ... They are the most vulnerable to CC. This could also form part of recommendations	Added in the recommendation 158 (in Design).
UNDP Comment/Suggestion/Explanation	
1. It is by design that the UNDP project management team is lean. The intention is to work with partners (GOU) to build and strengthen the national capacity. Mainstream operations of the partner, empower the focal points/guarantee to deliver. UNDP supports the Government in the implementation of projects.	The intension of working with partner to build their capacity is good idea but when technical input from the implementing agency is weak then some arrangement should have been made.

2. Commitment for moving forward ITCP <ul style="list-style-type: none"> The local government representatives did sign the commitment forms. These signatures are to be processed. The Permanent Secretary committed to integrate the program in the 2014/15 National Budget and the Minister's approval has been obtained. The Climate Change Unit has taken up this matter and is following up with the P/S. 	Information updated in 3.3.5 Catalytic role and replication section of the report.
3. Recommendations should be few and need to include <ol style="list-style-type: none"> Design stage Start up. Implementation stage Monitoring & Evaluation framework 	Effort made to decrease number but important recommendation could not be avoided. Similarly, it follows the style recommended in the ToR.
4. Each item should be distinct and actionable.	Actions are distinct and actionable.
5. Recommendations for a "second phase" or ITCP implementation could be included with clear indications on what the focus should be.	Some recommendations were already in the first draft and additional recommendation was made as per suggestion.
Comments from MsAnne C. Woodfine	
1. The evaluation seems to have omitted mention of the studies undertaken by the various national consultants in the early stages of my involvement - including the capacity assessment / capacity development plan / climate profiling and vulnerability analysis - and that the latter was particularly supported by Mark Tadross.	It is mentioned in paragraph 131.
2. Also very limited mention of the ECOTRUST contributions, which hopefully will catalyse wider numbers of land users benefiting from carbon finance in the future.	Activities accomplished by ECOTRUST and responsibilities and involvement of it are explain in several places of the report which indicates its contribution. Also in the stakeholder and partner selection, it is mentioned that ECOTRUST, and NGO/CBOs are selected based on their capacity, relevancy and experience.
Comments from Jon Townley, Welsh Government	
1. The project has ended in failure	TET does not agree with this conclusion. TET is independent to draw conclusion based on its evaluation findings.
2. Christophe Nuttall of UNDP Geneva in Hotel Mt. Elgon in 2009 promised that	TET learned that the sharing of ITCP concept and project ideas with donors has

<p>\$25-30m in investment would be attracted to the region as a result of the ITCP. Apart from a few 10s of 1,000s of dollars in project small grants nothing has been attracted – that is the only measure of success that counts. The donors have quite rightly walked away and we all know that the project is effectively dead – and yet the consultants you appointed think it ‘likely’ that it is sustainable.</p>	<p>already been initiated. As usual in most of the projects that at initial phase action will be slow and it is too early to be pessimistic as it has just started and some donors have made positive indications and project has time (15yrs) to generate fund and to implement activities.</p>
<p>3. The project has been such an abject failure, and I blame myself for firstly helping to bring the project to Uganda and secondly for allowing the UNDP to raise the expectations of our partners in Mbale only to let them down so comprehensively. As predicted by others, the UNDP managed to spend the vast bulk of the project funds on its own administration and consultants.</p>	<p>TE financial analysis does not agree with the allegation.</p>
<p>4. I do hope that this is now the end of the UNDP involvement in the region and that this report along with all the others can now be left to gather dust on your shelves. We will work with our Mbale partners to pick up the pieces.</p>	<p>TET does not feel need to respond this. But glad to hear that Welsh government is interested to use lessons from this project for their future work with Mbale partners.</p>

Annex XX: Evaluation Consultants Agreement.

ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND 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 bring this to account 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 evaluation. Such cases must be reported to the appropriate authority. Informants should consult with other relevant rights entities when they have a good doubt about the way 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 the production of the product (6). They are responsible for the clarity, accuracy and the written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound conceptual 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: Arun Rijal

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/office  Kathmandu, 27.11.2013

Signature: _____