



Ecosystem Based Adaptation to Climate Change (EBA) Project.

Mid Term Review Report

September 2014

United Nations Development Programme; Uganda.

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This has been an exhilarating mid-term evaluation of the Ecosystem Based Adaptation to Climate Change (EBA) Project which project aims at building ecosystem resilience in Uganda's Mt. Elgon districts of Kapchorwa, Kween, Bulambuli and Sironko. Whilst this report represents the culmination of work of an independent consultant, it would not have been possible without the excellent cooperation enjoyed from the Energy and Environment Unit of the United Nations Development Programme (UNDP) – Uganda country office, and the International Union for Conservation of Nature – Uganda country office. Special thanks go to Mr. Onesimus Muhwezi (UNDP) and Ms. Sophie Kutegeka (IUCN) for their willingness and assistance to this consultancy.

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Abbreviations and Acronyms

BMUB	Bundesministerium für Umwelt, Naturschutz, Bau und Reaktorsicherheit (Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety)
CAP	Coalition Against Poverty
CBO	Community Based Organization
COP	Conference of Parties
CPAP	Country Programme Action Plan
CRiSTAL	Community-based Risk Screening Tool – Adaptations and Livelihoods
CV	Curriculum Vitae
DNRO	District Natural Resources Officer
EBA	Ecosystem Based Adaptation
ECOTRUST	Environmental Conservation Trust of Uganda
FACE	Forests Absorbing Carbon dioxide Emissions
FGD	Focus Group Discussion
FIEFOC	Farm Income Enhancement and Forestry Conservation
GEF	Global Environment Facility
GFS	Gravity Flow Scheme
GIS	Geographical Information Systems
GOU	Government of Uganda
HIV	Human Immunodeficiency Virus
IUCN	International Union for the Conservation of Nature
KACODA	Kapchorwa Community Development Association
KAP	Knowledge, Attitudes and Practices
KII	Key Informant Interview
LEAD	Livelihoods and Enterprises for Agricultural Development
LLS	Livelihoods and Landscapes Strategy
LOA	Letter of Agreement
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MECDP	Mount Elgon Conservation and Development Project
MERECOP	Mount Elgon Regional Ecosystem Conservation Programme
MOU	Memorandum of Understanding
MTR	Mid Term Review
MWE	Ministry of Water and Environment
NAHI	Nature Harness Initiatives
NAPA	National Adaptation Plans of Action
NDP	National Development Plan
NGO	Non Government Organization
NPSC	National Project Steering Committee
PMU	Programme Management Unit
SACCO	Savings And Credit Co-operative
TACC	Territorial Approach to Climate Change
ToR	Terms of Reference
UK	United Kingdom
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme

UNFCCC	United Nations Framework Convention on Climate Change
UNMA	Uganda National Meteorological Authority
USAID	United States Agency for International Development
USD	United States Dollar
VIA	Vulnerability Impact Analysis
WCMC	World Conservation Monitoring Centre

Executive Summary

The Ecosystem Based Adaptation (EBA) to Climate Change in Mt. Elgon Ecosystem Project is a four-year project funded by the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB) and implemented by the Ministry of Water and Environment (MWE) of the Government of Uganda. It aims at building strong resilience for Mt. Elgon ecosystem as a basis for livelihood improvement and adaptation to the impacts of climate change. The project operates in four districts, namely; Bulambuli, Sironko, Kapchorwa and Kween and was slated to end in 2014 but due to a need for consolidating and strengthening the knowledge management aspects, a no cost extension was granted up to the end of 2015. The project is a partnership between the United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP) and the International Union for the Conservation of Nature (IUCN).

The project is organized around 4 components implemented by three partners as follows: Component 1 – The development of methodologies and tools for mountain ecosystems (Implemented by UNEP through UNEP-WCMC); Component 2 – The application of the above tools and methodologies at the national level (Implemented by UNEP through UNEP-WCMC); Component 3 – The implementation of EBA pilots at the ecosystem level (Implemented by IUCN and UNDP); and Component 4 – The formulation of national policies and building an economic case for EBA at the national level (Implemented by UNDP).

This Mid-Term Review (MTR) of the project was conducted between July and September 2014 to identify potential project design problems, assess progress towards the achievement of objectives, identify and document lessons learned (including lessons that might improve design and implementation of other EBA projects), and to make recommendations regarding specific actions that might be taken to improve the project. The review was undertaken through document reviews, individual and group interviews (e.g. key informant interviews, focus group discussions and semi-structured questionnaires) as well as field visits. This independent evaluation is an integral feature of the project's monitoring and evaluation framework.

In outcome 1 (Methodologies and tools for EBA decision-making developed), the project has been able to conduct all the intended activities and ensure that EBA measures are implemented by the project. The baseline scenarios against this outcome were that (i) No information is available on EBA options and capacity in Uganda, and (ii) Assessment of ecosystem resilience is not currently integrated into VIA methodologies and tools. Against these baseline scenarios, the project aimed at identifying and documenting good practice EBA options as well as developing improved methods and tools for climate change Vulnerability Impact Assessment (VIA) for EBA to support the design of EBA options. The project has identified 14 existing EBA measures, 4 land and water management practices, and 7 recommendations regarding the implementation of existing EBA measures. A total of 12 ecosystem services as well 8 information gaps have been identified for further development or attention. In addition, 18 good practice EBA options have been identified in the project implementation area. Up to 20 training workshops were also conducted to build stakeholder capacity in the development of methodologies and tools for EBA decision making.

Activities to achieve Outcome 2 (Methodologies and tools are applied at ecosystem level) were based on the fact that (i) no land use plan exists for the Mt. Elgon ecosystem and (ii) no EBA strategies identified using decision making tools . The activities implemented under this outcome area included undertaking a Climate change VIA and identifying an EBA strategy using decision-making tools, including an economic assessment of EBA options and land use option maps. The project has explored and provided information and recommendations on vulnerability of local communities and ecosystem services, current and future supply of ecosystem services through a vulnerability impact assessment (VIA). Landscape level maps and data sets were generated for future use by government and other stakeholders. Lower community spatial maps are, however, yet to be developed and further build capacities of the communities in the utilization of the VIA results.

The baseline scenarios under Outcome area 3 (EBA pilot projects implemented and contributing towards ecosystem resilience and reduction of livelihood vulnerability in the face of climate change impacts) included (i) limited awareness on EBA by stakeholders as well as limited understanding of roles and responsibilities of project partners; (ii) limited number of project interventions on water resources management and soil conservation; and (iii) need to strengthen existing interventions IUCN's LLS programme and USAID's LEAD project focusing on market opportunities and enhancement. A number of activities have been undertaken that have seen the implementation of restoration projects in the project area. These were preceded by a series of community sensitization sessions, visioning and action planning including the development of community land use plans. Grants have been given to upto 14 communities to implement restoration projects that range from beekeeping, tree nursery management, making of unbaked bricks, energy saving stoves, and river bank protection through tree planting. In areas such as Sanzara in Kapchorwa district, much larger projects e.g. gravity water flow schemes have been implemented. To achieve community livelihoods, a performance based initiative scheme has been established by contracting two prominent Non-Government Organizations (NGOs) i.e. Nature Harness Initiatives (NAHI) by IUCN and Environmental Conservation Trust (ECOTRUST) by UNDP to administer the incentive schemes. In addition, market opportunities have been sought for by linking local project beneficiaries e.g. Kapchorwa Community Development Association (KACODA) to large organizations such as SAMEER Group for sustainable marketing of their milk. The project has organized its stakeholders under the Mt. Elgon Stakeholders Forum for effective mobilization and sharing of knowledge products.

The project has made minimal results in outcome 4 (A business case at EBA national level developed). The baseline scenarios under this outcome area were (i) no economic assessments to determine economic values of EBA to sector outputs have been conducted, and (ii) no financing and policy framework for EBA at national level exists. The project has however, i) developed an EBA communication strategy as a policy influencing framework that should be linked to the project's M&E framework, ii) formed a multi-ministerial National Steering Committee as a policy guiding organ for the project. Studies are currently under way to (i) develop a methodology that will be utilized in the cost-benefit analysis of the EBA options that are being practiced in the country, (ii) conduct a detailed cost-benefit analysis of the EBA options giving the best suited options based on a value for money and ecosystem basis, (iii) assess the potential for EBA from the field to the national scale including viability, cost-effectiveness, policy needs and revenue generation options with other ecosystems and landscapes and as a national government programme, and (iv)

develop guidelines and training materials on how to mainstream and/or integrate EBA options into the policy and financing frameworks.

Assessment against performance indicators as indicated in the Terms of Reference (ToRs) i.e. Achievement of objectives and planned results, Coverage, Relevance, Effectiveness, Efficiency, Sustainability and Impact was based on a 6 point GEF rating scale of 1 – 6 (where 1 = Highly Unsatisfactory, 2 = Un Satisfactory, 3 = Moderately Unsatisfactory, 4 = Marginally Satisfactory, 5 = Satisfactory and 6 = Highly Satisfactory). The following assessment results (as indicated below) were therefore awarded based on achievements in the respective performance indicators:

Achievement of objectives, planned outputs and results – Rating = 4 (Marginally Satisfactory): Overall, the project performance on achievement of objectives, indicators and results has been good. The project seems to have started at a slow pace and the use of consultancies has been very useful in speeding up and delivering the required results. However, the project is behind schedule in developing the business case for EBA while some improvement is required in effectiveness and efficiency for maximum achievement of project outputs and results.

Coverage – Rating = 5 (Satisfactory): Despite the differences in selection of beneficiaries for the no-regret pilot projects between IUCN and UNDP, the project has targeted critical interventions that can benefit entire communities such as Gravity Flow Scheme, Tree seedling nurseries, Bee keeping, Unbaked brick making, Soil and Water conservation, etc. The choice of different geographical areas for implementation of activities by IUCN and UNDP was an approach that avoided duplication and maintained synergies, especially through stakeholder meetings and field visits while increasing learning between the sites.

Relevance – Rating = 6 (Highly Satisfactory): The project is highly relevant as it addresses a region that has very high population pressure and is facing very serious impacts of climate change, including deadly landslides, flooding, drought, pests and diseases and a decline in soil fertility. The project also presents an opportunity to build the livelihood base of many local communities and strengthen relevant local and national institutions in sustainable ecosystem management. It will also result into the development of up-to-date data on climate change in the project area and present district authorities with tools and methodologies to develop critical and relevant interventions. The Project addresses among others key issues in the Uganda's development agenda for example; the National Environment Management Policy, National Environment (Mountainous and Hilly Areas Management) Regulations (S.I No 153-6) of 2000, and the National Climate Change Policy 2013.

Effectiveness – Rating = 4 (Marginally Satisfactory): The extent to which progress towards outputs or outcomes has been achieved the project is rated as good. The project has been good in effective implementation of all activities which are in line with the project outputs. There is very good engagement at the local district levels and ownership at both the national and district levels. The Project Management Unit has been very effective in dialoguing with stakeholders through biannual programme reviews, NPSC engagement through meetings and capacity building workshops. The activities planned have been implemented despite the delay in project commencement. However, the effectiveness has been compounded by the lack of harmony and uniformity in project implementation approaches between UNDP and IUCN. In addition, there are many concerns raised by

stakeholders about delays in funds disbursements, re-imbursements and sometimes, even cancellation of meetings by UNDP.

Efficiency – Rating = 5: (Satisfactory) Overall, there has been high efficiency in the use and utilization of project resources. The score of how economically resources or inputs (such as funds, expertise and time) are converted to results should be upheld throughout the project period as well as any future projects. These resources have been utilized to implement projects at the catchment levels. In addition, highly relevant studies have been conducted resulting in outputs/recommendations that are currently being put into effect by the project, the case of adaptive management. In addition, several training workshops and capacity building activities have been implemented by the project. However, the project financial expenditure vis-à-vis funds disbursements indicates that approximately 45% of the funds have not been utilized, thereby necessitating doubling of implementation efforts to absorb the remaining funds in the remaining period.

Sustainability – Rating = 4 (Marginally Satisfactory): The project has set up strong sustainability measures which include (i) the formation of an umbrella organization – Mt. Elgon Stakeholder Forum, (ii) community project management task force committees, (iii) involvement of local government technical teams in project planning and budgeting, and (iv) creating linkage with similar initiatives in the region. Perhaps one of the strongest points is the selection of the National Climate Change Policy Committee to perform the duties of the national project steering committee. This is important as it provides leverage in influencing national policy and ensuring sustainability. However, there seems to be low rapport with the district technical teams from Sironko and Bulambuli ostensibly due to lack of facilitation for monitoring of project activities. Based on the extent to which relevant social, economic, political, institutional and other conditions are present, the project's sustainability is marginally satisfactory.

Impact – Rating = 4 (Marginally Satisfactory): It is usually not possible to find any impacts of an intervention only 2 years after start. It is also much harder to attribute a given impact solely to a given intervention. However, given the testimony from community members and district officials, and on-going discussions at the national level, it is clear there is some movement towards creating impact by the EBA project. Given the short period of time in consideration, a rating of 4 is therefore given).

The following lessons learnt were documented during the review:

1. The EBA project is executed under a partnership with different reporting structures and is managed using a process of formally written and signed agreements/memoranda coupled with informal methods such as phone calls, e-mails, peer-to-peer communication and partner visits. However, there are challenges that are presented by this partnership in the implementation of the project. The learning lesson here is that partnerships are usually complex in nature due to their inherent variance in operational procedures which in most cases causes lack of harmony in decision making which delays execution of project activities. The success or failure of the EBA project is therefore determined by how the partners handle project challenges and opportunities.
2. Most of the instruments which are necessary for sustainability, like policies or strategic plans for ecosystem based adaptation are yet to be developed at the local

government level. Focus group discussions for this MTR at the district level revealed that the district development plans are currently under revision and ecosystem based adaptation is being proposed for inclusion. While this is an opportunity for the project to spearhead the mainstreaming of EBA in the policies and strategic plans contained in the district development plans, it is apparent that emphasis has hitherto not been laid on EBA per se.

3. Poor funding to the district environment sectors in particular and district local governments in general affects integration of useful interventions, such as EBA in the district policy frameworks, which in turn affects prioritization, buy in and sustainability. The district Natural Resources Officers interviewed for this MTR indicated that funding for the environment sector is still very poor and this has greatly impacted on the successful prioritization of interventions such as EBA in district work plans.
4. Working in collaboration with experts and centers of excellence, such as reputable individuals, consultancy firms, and research and training institutions pays for project implementation as they can provide expertise and produce results in short time periods. Despite the delays experienced in kick starting many project activities, the PMU developed a strategy of working with centers of excellence (such as Universities and Research Institutions) and experts as consultants to deliver the project outputs, such as the EBA options and best practices, VIA and communication strategy.
5. Active involvement of the key partners, especially the political and technical leadership at the districts, is important for ownership, buy-in and sustainability of interventions, such as those being promoted by the EBA project. During several meetings conducted for this VIA, it was repeatedly pointed out that the district focal persons i.e. District Natural Resources Officers have the full blessings of the political leadership of their respective districts. Indeed, the Mt. Elgon Stakeholder Forum is important for acceptability and buy-in of the project interventions by the local communities.
6. Roles and responsibilities of implementing partners, key stakeholders and project beneficiaries should always be clarified at the outset before project implementation. Memoranda of Understanding and/or letters of agreement should always be designed and signed before project implementation starts. This avoids delays and mistakes and promotes rapport between the project implementation actors. In one of the stakeholder meetings with District Natural Resources Officers during this MTR, it was revealed that MoUs were at that time in the process of being signed between the districts and the Ministry of Water and Environment for implementation of EBA. This, it was noted, was very necessary and essential for clarification of responsibilities although it had been implemented rather late.
7. A communication and knowledge management strategy should always be formulated at the onset of the project implementation. This would then guide the monitoring and evaluation framework and dissemination of project outputs for visible impacts. Effectiveness of the project can greatly be affected by lack of a good communication strategy. In this case, a communication strategy has been developed but implementation has rather been scant.

8. It is important to carry out a proper community/social assessment before selecting CBOs for pilot or project activities. This is because each community and CBO is unique and as such community buy-in and entry techniques should be specific to this uniqueness. This way it will be possible to know the possible social issues that may affect the implementation of the project such as land ownership, ethnicity, economic status and gender issues among others. This has been the case in the implementation of this project, whereby two contrasting approaches i.e. the livelihoods approach of the UNDP-EBA component in Sironko/Bulambuli districts and the catchment approach of the IUCN-EBA component in Kapchorwa/Kween districts have utilized community/social assessment for deciding on appropriate no-regret activities.
9. Change of attitudes takes a long time to be realized; however with continual sensitization and capacity building this change may gradually be realized. During key informant interviews for this review with the District Natural Resource Officers, it was pointed out that buy-in of river bank protection by use of tree planting has been slow in taking root because of community attitudes about land and its ownership. However, it was noted that attitudes are slowly changing for the better.
10. Knowledge about EBA is still limited; rather most people talk about climate change adaptation holistically. Even in the project area, the project is referred to as IUCN and/or UNDP project. This concern was variously raised by several stakeholders as well as the EBA Project Officers. More sensitization needs to be enhanced for the project to achieve the intended awareness effect.

The following recommendations have been made for effective and efficient implementation of project activities as well as to ensure that sustainability and impacts are realized:

1. The EBA project has achieved a lot of results but much still needs to be done. To be able to effectively respond to the impacts of climate change and develop resilience among the communities in the project area, the Project Management Unit together with government (Ministry of Water and Environment) and relevant stakeholders e.g. district local governments of Bulambuli, Kapchorwa, Kween and Sironko, should build an appropriate exit strategy in their implementation for sustainability, involving an ownership model among the local governments and project beneficiaries.
2. The Project Management Unit should ensure that interventions take into consideration gender differences. For example, while women work in the gardens, they do not own land and would most likely be more interested in interventions such as food crops, medicinal plants, handicrafts as sources of livelihoods, etc. Tree planting, per se, which is usually a big component of most climate change programmes, would actually make the women more vulnerable since in most cases the trees are owned by men and while the women are the major users of products such as firewood, the men would prefer to sell firewood to earn money.
3. Moreover, even the pilot projects so far implemented, are small and scattered in nature to create meaningful impact. It would have been much more meaningful to

concentrate resources in one area and show case successes of ecosystem based options to adaptation to the impacts of climate change, which would then be scaled out to other areas.

4. Implementation of the project has experienced challenges arising out of the variation in operational styles, systems and modalities between UNDP and IUCN. The operational procedures of NGOs such as IUCN are flexible compared to those of the UN agencies. The variation therefore explains the differences in buy-in of the EBA project between the districts of Kapchorwa and Kween on the one hand, and Bulambuli and Sironko on the other. Therefore, it is important to harmonize the implementation procedures since three different institutions are involved in the partnership. All three partners (UNEP, IUCN and UNDP) should agree on a standard reporting format and operations that meets the needs of the individual partner (MWE) but also serves the purposes of the project.
5. The systems in place for reporting, monitoring, and management of this project are complex, and vary from partner to partner. The channels for disbursement of funding for the most part mirror the channels for narrative reporting and technical support for each partner. The project coordination and reporting structure should be revised. The National Project Management Unit should be responsible to the National Project Executing Partner (in this case MWE) so that it is not associated or viewed as an appendage of one of the implementing partners to the exclusion of others. This would also ensure that MWE takes on a role greater than that described for the steering committee for which it is just a member. Each partner, UNDP and IUCN, would then retain their respective Project Officers and Focal Persons who would then provide technical reports to the National Coordinator. In addition, since funding for IUCN is directly disbursed from UNEP, the focal persons in each of the partner organizations would then be responsible for financial and progress reporting to UNEP. The National Coordinator would collate the reports and report to the NPSC for upward consideration by the Permanent Secretary (MWE) and subsequently to BMUB through UNEP.
6. Discussions should be held between the NPSC and the national coordinating institution for EBA (in this case UNDP) about the possibility of a Projects Coordination Account at MWE and Project Implementation Account in Mbale for the UNDP-EBA Project Officer so as to shorten the length of time taken to draw funds for project activities. Funds for coordination of project activities would then be disbursed by UNDP to MWE while implementation funds would be disbursed from UNDP to Mbale upon satisfactory quarterly reporting and accountability. This structure is already available in the IUCN component and has proved to be very effective for timely implementation of activities. It would also avoid some of the exigencies such as procurement requirements within UNDP which are amenable to change.
7. There should be more sharing of achievements and lessons learnt through publications, mass media and internet. This could, perhaps, be enhanced by the recruitment (at the national level) of a Communication, Documentation or Learning Manager with GIS skills. This idea should be given due consideration by the project coordinating institution i.e. UNDP.

8. Interventions aimed at encouraging tree planting, especially along river banks have to put livelihood improvement into consideration. This is because communities will usually associate tree planting along river banks and on specified areas of land with loss of productive land. In addition, communities need very close monitoring and supervision if a project is to be successful. Without close monitoring, communities tend to lose focus and interest especially when they face challenges and don't get immediate help. Moreover, already existing community groups work much better than the newly created groups because of the solidarity and understanding built over time. Therefore, comprehensive scrutiny of all groups should be made by the project technical committee at the district level before selecting pilot groups.
9. Consideration should be given to developing a second phase of the project which could pick up on activities arising out of the current project implementation, as well as the activities identified in the final review. This should be initiated by the Project Management Unit as soon as possible so as to avoid losing the momentum which is being generated by current project activities.

1.0 INTRODUCTION, PURPOSE AND METHODOLOGY OF THE REVIEW

1.1 Background and Context

Climate change impacts have been identified to be affecting the functioning and integrity of mountain ecosystems and are adding to the stress resulting from other anthropogenic activities such as unsustainable land use practices. Ecosystem-based Adaptation (EBA), the use of biodiversity and ecosystem services in adaptation, is emerging as a new strategy to help people adapt to the adverse impacts of climate change. It includes the sustainable management, conservation and restoration of ecosystems to provide services that help people adapt to both current climate variability, and climate change. Ecosystem-based adaptation contributes to reducing vulnerability and increasing resilience to both climate and non-climate risks and provides multiple benefits to society and the environment.¹ Ecosystem based adaptation is therefore being utilized in three countries viz. Nepal, Peru and Uganda to help people in mountain ecosystems to adapt to the adverse effects of climate change.

The Ecosystem Based Adaptation (EBA) Programme for Mountain Ecosystems in Uganda, Nepal and Peru aims to strengthen the capacities of these three countries, which are particularly vulnerable to climate change impacts, to build ecosystem resilience for promoting EBA options and to reduce the vulnerability of communities, with particular emphasis on mountain ecosystems. The programme is funded by the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety or Bundesministerium für Umwelt, Naturschutz, Bau und Reaktorsicherheit (BMUB) through its International Climate Initiative, and is implemented through a partnership of the United Nations Environment Programme (UNEP), the United Nations Development Programme (UNDP) and the International Union for the Conservation of Nature (IUCN).

In Uganda, the four-year Ecosystem Based Adaptation to climate Change (EBA) Project is implemented by the Ministry of Water and Environment (MWE) in partnership with UNDP, IUCN and UNEP. Through parallel and cooperative development and application of methodologies and tools and the implementation of pilot projects, the EBA project intends to shorten the learning curve of local and national institutions and fast-track the transfer of knowledge and experience in relation to building ecosystem resilience. The project therefore hopes to create new opportunities for experimental learning between different stakeholders. The different partners (UNDP, IUCN and UNEP), through the coordination of the Project Management Unit (PMU), are responsible for implementing four components in the districts of Mt. Elgon ecosystem, namely Kapchorwa, Kween, Bulambuli and Sironko, as shown below:

1. The development of methodologies and tools for mountain ecosystems (Led by UNEP).

¹Colls A, Ash N, Ikkala N. 2009. *Ecosystem-based Adaptation: a natural response to climate change*. Gland, Switzerland: IUCN. 16pp.

2. The application of the above tools and methodologies at the national level (Led by UNEP).
3. The implementation of EBA pilots at the ecosystem level (Led by IUCN and UNDP).
4. The formulation of national policies and building an economic case for EBA at the national level (Led by UNDP).

1.2 Purpose, Scope and Objectives of the evaluation

1.2.1 Purpose

Mid Term Reviews (MTRs) are monitoring tools to assess project status and challenges, identify corrective actions to ensure that a project is on track to achieve planned outcomes. Mid Term Reviews (MTRs) are beneficial for project implementation as they provide an independent, holistic and in-depth review of implementation progress, and this is important for transparency and access to information during implementation. The MTR therefore provided a fresh, unbiased view of the project and identified potential for improvement as well as produce actionable, realistic, results-oriented and concrete recommendations. This MTR will present a learning opportunity for the implementation agency (MWE), partners and beneficiary communities. This MTR covered the project implementation period up to date. The MTR was conducted according to the guidance, rules and procedures established by the Terms of Reference (ToRs) (Annex 1).

1.2.2 Scope and objectives

This MTR identifies potential project design problems, assess progress towards the achievement of objectives, identify and document lessons learned (including lessons that might improve design and implementation of other EBA projects), and make recommendations regarding specific actions that might be taken to improve the project. This MTR was premised on four objectives as envisaged by the Monitoring and Evaluation (M&E) policy at the project level in UNDP. The specific objectives of the MTR, therefore, were to:

- i). Identify unforeseen project design problems.
- ii). Assess progress towards the achievement of objectives – especially towards strengthening Uganda’s capacity to promote ecosystem based adaptation to climate change and to reduce the vulnerability of communities on the Mt. Elgon ecosystem and improving livelihoods.
- iii). Identify the changes caused by the project to sustainable livelihoods.
- iv). Verify the effective and efficient use of funds to deliver results.
- v). Make recommendations regarding what should be done during the rest of the project life.
- vi). Analyze the project performance up to now in the context of the institutional framework and events in Uganda.

1.3 Methodology

1.3.1 Data collection

The MTR was conducted through a consultative process, and utilized qualitative and quantitative data gathered through a mixed-methods approach from a selected range of sources as indicated below. The focus was to generate information that would provide evidence to sufficiently describe the MTR parameters concerning the project's progress. The methodology that was employed therefore included:

1.3.1.1 Stakeholder identification

The first stage of the MTR was the development of a detailed work plan, identification of key stakeholders and formulation of key review questions i.e. checklists and questionnaires. Respondents and participants in the MTR were selected by simple stratified random sampling based on cluster groups. The cluster groups comprised of (i) project beneficiary communities (represented by the recipient project coordinators), (ii) project focal persons at district level (District Environment Officers), (iii) other district stakeholders (represented by District Water, Agriculture and Production Officers), (iv) project steering committee members and (v) EBA project staff. For key informants, sampling was applied to ensure that the various clusters of respondents at the district and national level were represented.

A total of 76 stakeholders were involved in this MTR exercise with 19 of them being directly involved as key informants (Annex 3). Ordinarily, there is some minimum sample size, below which the data are not sufficient to draw any conclusions. However, by the above mentioned number of respondents, it was clear that the responses had reached a point of diminishing returns above which additional confidence is negligible. At that point, it was decided that the sample size had reached an optimum level.

1.3.1.2 Focus group discussions, Key Informant and Semi-Structured Interviews

The MTR utilized key informant interviews, semi structured interviews and focus group discussions to interface with the EBA project's stakeholders. A total of five (5) focus group discussions were held with between 5 to 9 persons, with one FGD in each of the project district except in Sironko district where two (2) focus group discussions were held. Apart from the extra FGD in Sironko where members of Sangasana Womens' Group were involved, the rest of the FGDs involved district implementers of EBA interventions.

Further discussions with beneficiary communities and senior government officials mainly employed semi-structured interviews or the use of check lists. Responses from project staff were elicited using a set of questions contained in a self-assessment questionnaire. The self-assessment questionnaire included a number of open-ended questions relating to the MTR criteria. The questionnaire and informant interviews and discussions were guided by the intended results of showing project effectiveness, relevance, efficiency and sustainability. Project performance was then rated on a scale of 1 to 5 (Table below).

Table 1. Six point GEF Rating scale of project performance

Scale	Achievement	Description
1	Highly Unsatisfactory (HU)	The project has severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency
2	Unsatisfactory (U)	The project has major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency
3	Moderately Unsatisfactory (MU)	The project has significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency
4	Marginally Satisfactory (MS):	The project has moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency
5	Satisfactory (S):	The project has minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency
6	Highly Satisfactory (HS)	The project has no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency

1.3.1.3 Review of secondary data

Secondary data was obtained from the Project Document, Inception Workshop Report, Consultancy Reports, Annual Reports, existing statistics and financial data (reports) showing breakdown of expenses on different activities. These were obtained from the EBA National Coordination Office as well as IUCN headquarters in Kampala.

1.3.1.4 Triangulation of data

Triangulation is an important method in mixed-method data collection as it ensures that results are linked up into a coherent and credible evidence base. To clarify, supplement and triangulate information obtained from focus group discussions, key informant interviews, questionnaires and secondary data, face to face interviews were held with key project personnel and other stakeholders utilising specific information generated from the previously mentioned methods.

1.3.1.5 Stakeholder meetings

Finally, the draft report was presented to a select team of key programme staff and stakeholders in a meeting organized by the National Programme Office. The purpose of this meeting was to present and discuss preliminary findings from the MTR, to work through issues that required further consideration, and to develop (jointly with the project stakeholders) the key recommendations for action arising out of the review. These recommendations and any additional information to the draft report were then incorporated into a final report.

1.3.2 Data analysis

1.3.2.1 Project indicators

The following project indicators based on the four outcome areas, as contained in the project log frame, were assessed in quantitative terms against the baseline scenarios outlined below.

Table 2. Details of data gathering process and major objectives

Output	Activity	Methodology	Major objective
Component 1: Development of methodologies and tools for EBA decision making in target districts in Mt. Elgon ecosystem			
Outcome 1: Methodologies and tools for EBA decision-making developed			
Output 1.1 Good practice EBA options identified and documented	(a). Collect data on best practices from UNDP and partners' portfolio related to EBA– both general and mountain and develop draft report (b). Conduct teleconference to discuss draft report (c). Finalize report and submit to UNEP-WCMC	KII, FGDs, Questionnaire	To find out level of <u>achievement</u>
Output 1.2 Improved methods and tools for Climate Change Vulnerability Impact Assessment (VIA) for EBA to support the design of EBA options developed	(a). Compile and submit to UNEP data on mountain research stakeholders (b). Facilitate pre-testing VIA processes and methodology in the Mt. Elgon ecosystem (c). Support the capacity of suitable in-country institutions to conduct VIA and the design of EBA options	KII	To find out level of <u>achievement</u> , determine <u>effectiveness</u> and <u>efficiency</u>

Component 2: Application of methodologies and tools in target districts in Mt. Elgon ecosystem			
Outcome 2: EBA Methodologies and tools are applied at ecosystem level			
Output 2.1 Climate change Vulnerability and Impact Assessment carried out to guide project interventions	(a). VIA training activities (b). Facilitate the process of conducting VIA in Sironko and Bulambuli Districts	KII	To find out level of <u>achievement</u> , determine <u>effectiveness</u> and <u>efficiency</u>
Output 2.2 EBA strategy identified using decision-making tools, including an economic assessment of EBA options and land use plan	(a). Provision of inputs to the drafts of methodology documents for developing primers and prioritization of EBA options through economic assessment (b). Contribute to developing of maps for spatial planning for EBA, including, identification and compilation of datasets to be used to produce ecosystem or 'mountain' scale maps	KII, Secondary sources, Questionnaire	To find out level of <u>achievement</u> , determine <u>effectiveness</u> and <u>efficiency</u>
Component 3: Implementation of EBA pilots in Mt. Elgon ecosystem			
Outcome 3: EBA pilot projects implemented and contributing towards ecosystem resilience and reduction of livelihood vulnerability in the face of climate change impacts			
Output 3.1 Institutional roles and responsibilities for different stakeholders at all levels and implementation mechanisms of EBA options established	(a). Conduct a Knowledge, Attitudes and Practices (KAP) Survey to establish baselines (b). Conduct a partners' meeting to discuss and agree on institutional roles and responsibilities	KII, FGD, Questionnaire	To find out level of <u>achievement</u> , determine <u>effectiveness</u> , <u>efficiency</u> and <u>Impact</u>

<p>Output 3.2: Institutional capacity of local Governments and other key national institutions to plan, monitor and enforce EBA enhanced</p>	<ul style="list-style-type: none"> (a). Undertake training workshops for central and local government agencies on EBA measures (b). Organise programme review meetings with key government agencies to provide guidance on EBA integration (c). Organise twice-yearly coordination workshops with stakeholders from target districts to share information and build capacity (d). Develop action plans for mainstreaming of EBA and follow-up for technical support and oversight 	<p>KII, FGD, Questionnaire</p>	<p>To find out level of <u>achievement</u>, determine <u>effectiveness</u>, <u>efficiency</u> and <u>Impact</u></p>
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<p>Output 3.3: Pilot projects focusing on water resources management and enhancement of soil conservation measures implemented</p>	<ul style="list-style-type: none"> (a). Develop priority activities for implementing restoration projects. (b). Implement one to two restoration projects in high-risk areas for landslides in Bulambuli and Sironko. (c). Identify and support credible community groups and private commercial nursery operators to supply restoration projects with tree seedlings and other inputs (d). Facilitate alignment of major national restoration and rehabilitation initiatives with emerging adaptation frameworks through an annual national dialogue session. (e). Facilitate collaboration with research projects at restoration and control sites, for experimental learning about EBA. (f). Undertake participatory planning to agree on sustainable water use and management plans to be implemented by the communities. (g). Provide small grants support to selected institutions for implementation of 4 EBA pilot projects 	<p>KII, FGD, Secondary sources, Questionnaire</p>	<p>To find out level of <u>achievement</u>, determine <u>effectiveness</u>, <u>efficiency</u> and <u>Impact</u></p>
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Output 3.4 Market opportunities and access identified	(a). Mapping, identifying and promoting market opportunities for ecosystem products that enhance the value of the ecosystem. (b). Leverage resources for expanding market opportunities, enhancing access to markets and generating alternative livelihoods	KII, FGD, Secondary sources, Questionnaire	To find out level of <u>achievement</u> , determine <u>effectiveness</u> , <u>efficiency</u> and <u>Impact</u>
Output 3.5: Lessons learned from EBA pilot projects documented and disseminated to relevant stakeholders	(a). Formulate a knowledge management and/or communication strategy and plan to disseminate lessons to relevant stakeholders at the national and international levels. (b). Establish and update a dedicated website for the project at which all relevant project documents shall be published. (c). Document and publish lessons learnt; and organize multi-stakeholder forums to share lessons learnt	KII, FGD, Secondary sources, Questionnaire	To find out level of <u>achievement</u> , determine <u>effectiveness</u> , <u>efficiency</u> and <u>Impact</u>
Component 4: Development of a business case for EBA at the national level			
Outcome 4: Key government stakeholders have the information available and capacities to integrate EBA into national development and climate policies, plans and strategies			
Output 4. 1: Systems and frameworks for an enabling environment for scaling-up EBA at national level put in place as part of climate risk management strategy	(a). Develop and implement a communication and policy influencing framework which will be linked to the M&E framework. (b). Develop methodology (Economic Assessment, Cost Assessment Scorecard; Financing and Policy Framework) clearly showing the indicators for project deliverables.	KII, FGD, Secondary sources, Questionnaire	To find out level of <u>achievement</u> , determine <u>effectiveness</u> , <u>efficiency</u> and <u>Impact</u>

	(c). Conduct Economic Assessments regularly possibly annually to determine economic values of EBA to sector outputs, given different climate change scenarios		
Output 4.2: Key government stakeholders have the information available and capacities to integrate EBA into national development planning processes and climate change policies and strategies	<p>(a). Conduct Country Financing Assessments (Management Options; Costs co-efficient; Cost Effectiveness, Revenue Options Analysis).</p> <p>(b). Draw up Financing and Policy Framework for EBA at national level (policy needs and revenue options for EBA scale up)</p> <p>(c). Facilitate integration of EBA in District Planning Frameworks</p>	KII, FGD, Secondary sources, Questionnaire	To find out level of <u>achievement</u> , determine <u>effectiveness</u> , <u>efficiency</u> and <u>Impact</u>

1.3.2.2 Performance indicators

The following performance indicators as indicated in the ToRs and a score card method were utilized to rate the overall achievement on a scale of 1-5 (Table 1): Achievement of objectives and planned results, Coverage, Relevance, Effectiveness, Efficiency, Sustainability and Impact. Information gathered during the review was coded and collated using a review matrix that was developed over the duration of the data collection exercise.

1.4 Limitations

This mid-term review relied on information generated through primary data gathering and secondary sources. Although all opportunities for triangulation were sought, the reliability of the information depended on full access to the required sources of such information and respondents. In addition, since the project area includes regions that are really inaccessible, especially during the rainy season, field visits were made during this review for which access to project sites depended so much on the weather and road conditions prevailing at the time of this review. It is therefore possible that the results of this MTR may be viewed as wholly consistent with accepted understanding and expectations of the EBA project at the time of review, or conversely, be seriously at odds with prevailing project assumptions, and therefore receive mixed attention. The consultant was, however, guided by the ToRs and, therefore, does not have any control of any conception or misconception of the results.

1.5 Reporting and Quality Assurance

This assignment was conducted by a single consultant, reporting to the Programme Management Unit on all technical obligations and guidance on a day-to-day basis, and to UNDP on all contractual obligations. Coordination functions of the consultancy on all aspects regarding contact with stakeholders and EBA partner and implementing organizations were conducted by the Programme Management Unit. This was done to ensure proper synchronization of the consultancy activities, appropriate communication and easy access to stakeholders and respondents.

2.0 PROJECT CONTEXT AND CONTENT

2.1 The EBA Project Context and Objectives

The International Climate Risk Report² identified Uganda as one of the least prepared and most vulnerable countries in the world to the impacts of climate change. Many parts of Uganda are already experiencing the impacts of climate change such as frequent droughts, famine, floods and landslides, and their knock on consequences on natural resources, agriculture, food security and livelihoods. With current average temperatures expected to increase by between 0.7°C and 1.5°C by 2020, the frequency and severity of these hazards will increase, and this will inevitably have serious socio-economic consequences and/or implications with regard to food security, health, and economic development³. These impacts are especially critical in Uganda's trans-boundary mountain systems i.e. the Mt. Elgon system, Mt. Ruwenzori and the Mt. Mufumbira ranges. These Mountain systems are also important biodiversity protection areas in the country.

The Mt. Elgon National Park is one of the most important water towers and biodiversity areas for both Uganda and Kenya, but is very vulnerable to flooding and landslides as evidenced by the 2010 floods and landslides. With a human population of about two million and an annual population growth rate of up to 4%, the multiple functions of Mt. Elgon ecosystem are under increasing threat from human activity. Nearly 80% of the largely resource-poor residents depend directly on land through low-input subsistence agriculture or the direct extraction of natural resources.

The EBA project therefore aims at building strong resilience for Mt. Elgon ecosystem as a basis for livelihood improvement and adaptation. The EBA project's overall objective is (a) to strengthen the capacities of Uganda to strengthen ecosystem resilience for promoting Ecosystem Based Adaptation (EBA) options and (b) to reduce the vulnerability of communities, with particular emphasis on mountain ecosystems through the following 4 components: (i) the development of methodologies and tools for EBA decision making in the mountain ecosystems; (ii) the application of the above tools and methodologies at the national level; (iii) the implementation of EBA pilots at the ecosystem level; and (iv) the formulation of national policies and building an economic case for EBA at the national level.

The EBA project document identified several completed and ongoing projects in the Mt Elgon region which provide lessons learned and experiences for the benefit of the EBA project. Some of these projects include the Mt Elgon Conservation and Development Project (MECDP), the Mt Elgon Regional Ecosystem Conservation Programme (MERECP), FACE Foundation Project, the Livelihoods and Landscapes Strategy (LLS) project, the Territorial Approach to Climate Change (TACC) project, Tree Planting Project of the Mbale Coalition Against Poverty (CAP), Sironko District Landslide Project, Sio-Malaba-Malakisi river catchment project, the

²CIGI (2007). International Risk Report: The Center for International Governance (CIGI)

³UNDP (2013). Ecosystem Based Adaptation in Mountain Elgon Ecosystem: Vulnerability Impact Assessment (VIA) for the Mt. Elgon Ecosystem. Consultancy Report. United Nations Development Programme, Kampala, Uganda.

UNDP/GEF Small Grants Projects, the Farm Income Enhancement and Forestry Conservation (FIEFOC) Project, Uganda's Readiness Preparation Proposal (R-PP)⁴. The EBA project is therefore intended to complement efforts by these aforementioned project interventions by the Government of Uganda (GoU), development partners and the private sector by developing tools and methodologies that suit the local conditions in Uganda.

The EBA project is consistent with Uganda's development objectives as outlined in the National Development Plan (NDP, 2010-2015), namely: 1) developing national capacity for coordination and implementation of climate change adaptation and mitigation activities; 2) ensuring climate proof development planning; 3) promoting low carbon development pathways; and 4) meeting Uganda's international obligations on climate change.⁵ The project also supports government efforts for sustainable livelihoods through the United Nations Development Assistance Framework (UNDAF), Outcome 2: "Vulnerable segments of the population in Uganda have sustainable livelihoods and employment including agricultural systems to manage population dynamics, economic disparities, environmental shocks and recovery challenges by 2014". In addition, the project is a fulfillment of Uganda's National Adaptation Programme of Action (NAPA) which recognizes and recommends adaptation strategies for highland ecosystems which are particularly vulnerable to climate change impacts.

2.2 Implementation Modality and Management

The executing agency for the EBA project is the Ministry of Water and Environment (MWE) while the implementing partners are UNEP, UNDP and IUCN. As already mentioned above, project activities are implemented under 4 components. Components 1 and 2 are implemented by UNEP while Component 4 is implemented by UNDP. Component 3 is unique in that it is implemented jointly by IUCN and UNDP in a dichotomous arrangement. Under Component 3, IUCN implements activities in the districts of Kapchorwa and Kween while UNDP implements activities in the districts of Bulambuli and Sironko. However, due to the absence of UNEP representation in the country, all activities for which it is responsible are implemented by UNDP on its behalf.

At the national level, UNDP coordinates all project activities. This was arrived at on the understanding that UNDP has a comparative advantage, given that they can easily solicit for experiences and lessons from different parts of the world on similar initiatives. UNDP also has a range of expertise in different UN agencies, which can be used to strengthen the implementation of the EBA project. Despite the recommendation of the scoping mission for the project, the National Project Coordinator is contracted by and housed within UNDP due to reservations by some of the development partners about the risk presented by understaffing in the Ministry of Water and Environment⁶. Each project implementing partner

⁴GOU, UNDP, UNEP, IUCN (2012). Ecosystem Based Adaptation in the Mountain Elgon Ecosystem Project document. United Nations development Programme, Kampala, Uganda

⁵Government of Uganda (2009). National Development Plan (2010 - 2015). Ministry of Finance Planning and Economic Development, Kampala, Uganda.

⁶UNEP, UNDP, IUCN 2011. Report of the Scoping Mission for Uganda for BMU-EBA. 23rd – 26th May 2011.

(UNEP, UNDP and IUCN) appointed a project focal person to handle all matters relating to the project within the respective agency. The UNDP focal person also acts as the UNEP focal person due to the absence of a UNEP country office in Uganda. At the district level, the District Natural Resource officers (DNROs) are the project focal persons. At the local government level, the project is coordinated by a Project Officer appointed by IUCN for the districts of Kapchorwa and Kween; and UNDP for the districts of Bulambuli and Sironko. Project activities are implemented jointly with the district local governments through the involvement of district officials, such as, District Natural Resource Officers (DNROs), District Production Officers, District Water Officers, etc.

At the outset of project implementation, it was agreed by the implementing partners and government that the National Climate Policy Committee be adopted as the EBA National Project Steering Committee (NPSC). At the national level, therefore, the project is supervised by a national steering committee composed of 14 members from different government ministries and the private sector. The NPSC is the highest decision making body of the project and ensures that the project is implemented according to the plans and budgets and that it delivers satisfactory results and impacts.

2.3 Project Activities and Resources

The project activities were organized into four inter-linked components. Components 1 and 2 (the development of methodologies and tools for EBA decision-making in the target districts; and the application of the developed methodologies and tools in target districts) are implemented by UNEP through WCMC. Component 3 (the implementation of EBA pilots in target districts) is implemented jointly by UNDP (in Bulambuli and Sironko districts) and IUCN (in Kapchorwa and Kween districts). Component 4 (the development of a business case for EBA at the national level) is implemented by UNDP. Details of the outputs and activities for these components are given in Table 2.

The UNDP version of the project document indicates that the total project allocated amount from UNEP was US\$ 1,731,733 (30% of the total project funding for the three countries⁷) with a parallel contribution of US\$ 624,416 from IUCN, making the total project funding amount to US\$ 2,356,149. Funds disbursements are made directly to the different partners, except for UNEP which remits funding for its activities (under Components 1 and 2) to UNDP. Accordingly therefore, the different partners developed their own work plans and approved them through consultation with the National Project Steering Committee.

The National Project Coordination offices are located in Kampala at UNDP. The IUCN Project Officer sits at the IUCN offices in Mbale while the UNDP Project Officer sits at the Sironko Valley Integrated Project offices in Sironko. The National Project Coordinator and project officers are each facilitated with a vehicle, office furniture, communication and IT equipment. The IUCN-EBA project maintains a project account in Mbale from which funds are drawn for quarterly project activities. Funds are deposited to the account upon satisfactory

⁷Document Ref. FA/2011/DEPI/CCA/001: Agreement between the United Nations Environment Programme (UNEP) and the United Nations Development Programme

accountability and requisition for fresh disbursement based on approved work plans and budget. Unlike the IUCN-EBA counterpart, the UNDP-EBA Project Officer does not operate an account in Mbale but makes funds requests direct to UNDP country office based on approved work plans and budgets.

3.0 EVALUATION FINDINGS ON PLANNED OUTCOMES

Outcome 1: Development of methodologies and tools for EBA decision-making

The application of appropriate scientific methodologies and tools to assist decision makers on the effectiveness of the interventions is a critical ingredient of successful EBA approaches. Under this outcome, a process was planned to assess, evaluate and develop appropriate methodologies for use in informing project adaptation actions, development of project baselines as well as monitoring of programme impacts. Two outputs were envisaged under this outcome.

Output 1.1: Good practice EBA options identified and compiled

This output was aimed at ensuring that the best EBA measures are implemented by this project. It was planned that through activities to be implemented under this output, the project would fully take into account the lessons learnt in other EBA approaches elsewhere. The project intended to achieve this through four major activities i.e. literature review of EBA measures, consultations with key stakeholders, analysis of EBA measures, and finally produce a report on good practice EBA measures.

From the documents reviewed and consultations conducted, it is apparent that the project has been able to conduct all the intended activities and ensure that EBA measures are implemented by the project. Consultations (through numerous stakeholder workshops) have been an integral part of the implementation of this project. The major process that drove the achievement of this output was a consultancy⁸ to provide information to assist in the definition of the project strategy and actions in Mount Elgon region. The following were the terms of reference and related outputs from the aforementioned consultancy:

1. Identification of existing EBA measures and relevant land and water management practices (14 existing EBA measures were identified; 4 land and water management practices were identified; 7 recommendations on the implementation of existing EBA measures).
2. Rapid assessment of current capacity for EBA to Climate Change (a capacity analysis for EBA was conducted for 11 national institutions and 8 local or district level stakeholders; as well as adaptive capacity of 7 major groups of stakeholders).
3. Preliminary identification of essential and desirable ecosystem services in Mt Elgon region for which management actions are required now and long term. **(12 ecosystem services were identified; 8 information gaps were identified for further development or attention).**

⁸UNDP Consultancy Report (2012). Ecosystem Based Adaptation in Mountain Elgon Ecosystem: Provision of services in supporting information for the Ecosystem-based Adaptation in Mount Elgon Ecosystem Project Strategy. Consultancy report submitted to United Nations Development Programme, Uganda Country Office, Kampala.

4. Production of preliminary list of EBA options for the project (**18 EBA options were outlined**).

Output 1.2: Improved methods and tools for Vulnerability Impact Assessment to support the design of EBA options developed

This output aimed at ensuring that existing methodologies are adapted to incorporate ecosystem resilience. The intention was to aid the development of tools and methodologies that are suitable for application at the project site level. The project hoped to achieve this through 4 activities, namely, (i) collation of tools and methods used for VIA and vulnerability mapping and the design of EBA options, (ii) guidance on integrating consideration of ecosystem functioning, services and resilience when undertaking VIA and vulnerability mapping and the design of EBA options, (iii) assess capacity the capacity of suitable in-country institutions to conduct VIA and support the design of EBA options at the landscape or regional scale, including the use of GIS and maps, and (iv) develop monitoring tools through in-country workshops with key stakeholders to identify possible indicators and relevant data sets for these aspects of EBA, and identify the information management capacity and systems that would be needed at different scales.

Three of the above activities (i – iii) have been undertaken already. At the time of writing this report, the fourth activity (development of indicators and information management) is currently being undertaken, through a workshop that took place from 21 - 23 July 2014 in Mbale. A follow up workshop is scheduled to take place on 3 September 2014.

Nevertheless, under activity (i and ii), a mapping workshop⁹ was held from 24 to 28 September 2012 to (1) develop a methodological framework for mapping vulnerability and (2) exchange knowledge and build capacity of national technical staff on the concept of EBA. The workshop was attended by participants from UNEP-WCMC (UK), Peru and Nepal. Uganda did not participate due to “visa” problems¹⁰. Following this workshop, a technical guidance manual¹¹ on how to conduct a rapid assessment of ecosystem services supply and management was produced by UNEP and was used in a “theory of change” workshop held in Mbale on 5 – 8 November 2012 to build stakeholder capacity in EBA.

A consultancy¹² commissioned to undertake activity (iii) above, conducted a rapid assessment of national institutions to be supported in conducting VIA for the project. The consultancy also reviewed previous VIA activities in the regions and proposed methodologies to be

⁹UNEP-WCMC (2012). Mountain Ecosystem-based Adaptation Mapping Workshop held from 24th to 28th September 2012 in Cambridge, UK

¹⁰A team member (Philip Bubb) from UNEP-WCMC was able to deliver a presentation of the Cambridge workshop to a cross-section of stakeholders from Uganda before the VIA Inception workshop

¹¹Bubb P, Doswald N, Epple C, Bodin B. (2012). Guidance on Rapid Assessment of Ecosystem Services Supply and Management: A preliminary guidance for the BMU project “Ecosystem Based Adaptation in Mountains.” Version 1.3. 3rd August 2012. UNEP-WCMC, Cambridge, UK.

¹²UNDP (2012). Capacity assessment to undertake Vulnerability and Impact Assessment (VIA) for the Ecosystem Based Adaptation (EBA) in Mt Elgon Ecosystem-Uganda. Consultancy report submitted to United Nations Development Programme, Uganda Country Office, Kampala.

followed for integrating and monitoring resilience when undertaking VIA and the design of EBA options for Uganda.

Outcome 2: Application of methodologies and tools at ecosystem level

This outcome intended to utilize a capacity building approach in the application of the methodologies and tools developed from output 1.2 above. It was intended that, in order to ensure sustainability in the use of the tools as well as ensuring that results from the programme are integrated in national processes, relevant stakeholders who were to be involved in the project would be trained in the use and application of the tools. Two outputs were envisaged under this outcome.

Output 2.1: Climate change vulnerability and impact assessment undertaken

Under this output, the project aimed to provide support in facilitating the participation of Mt Elgon stakeholders in conducting vulnerability and impact assessments. The activities envisaged under this output include: i) identifying and training key stakeholders to engage in applying the tools and methodologies, ii) providing guidance and technical support to in country institutions for the design of EBA options in the target districts, including the use of GIS and to conduct VIA, and iii) conducting VIA in the target districts through engaging the relevant stakeholders taking into consideration the different climate scenarios.

Information from project staff in response to this review and based on the consultancy report produced in output 1.1. above, training workshops have been held and technical support has been provided to grassroots stakeholders in support of the design of EBA options, such as tree planting, tree nursery operations, unbaked clay bricks, etc. In addition, a VIA was conducted by a team of consultants and published in December 2013. The VIA was conducted using a participatory approach and provided supporting and baseline information, analyses and maps to enable implementation of ecosystem based adaptation to climate change in the Mt. Elgon region. The VIA explored and provided information and recommendations on ecosystems and people, vulnerability of local communities and ecosystem services, current and future supply of ecosystem services

Output 2.2: EBA strategy identified using decision-making tools, including an economic assessment of EBA options and land use plan.

This output was expected to provide support in prioritizing EBA options, developing maps, gathering priorities and drawing up land use plans and action plans with monitoring guidelines. Under this output, it was envisaged to conduct an economic assessment of EBA options, develop maps for spatial planning of EBA and incorporation of stakeholder priorities to the spatial analyses and then finally end with the design monitoring guidelines, baseline set, specific implementation plan and action plan for EBA.

At the time of writing this report, a consultancy¹³ was underway aimed at (i) developing a methodology to be utilized in the cost-benefit analysis of the EBA options that are being practiced in the country, (ii) conducting a detailed cost-benefit analysis of the EBA options giving the best suited options based on a value for money and ecosystem basis, (iii) assessing the potential for EBA from the field to the national scale including viability, cost-effectiveness, policy needs and revenue generation options with other ecosystems and landscapes and as a national government programme, and (iv) developing guidelines and training materials on how to mainstream integrate EBA options into the policy and financing frameworks

Outcome 3: EBA pilot projects implemented and contributing towards ecosystem resilience and reduction of livelihood vulnerability in the face of climate change impacts

A number of EBA activities were supposed to be identified and selected for implementation based on the outputs of outcomes 1 and 2. Five outputs were envisaged under this outcome: 1) Institutional roles and responsibilities for EBA agreed by different stakeholders at all levels; 2) Institutional capacity of local governments and other key national institutions to plan, monitor and enforce EBA enhanced; 3) Pilot projects focusing on water resources management and enhancement of soil conservation measures implemented; 4) Market opportunities and access enhanced; and 5) Lessons learned from pilot projects captured and disseminated. However, due to delays in the start of the project, “no-regret” activities were conducted before the identification of EBA practices and VIA. The following text describes the situation pertaining at the time of this review:

Output 3.1: Institutional roles and responsibilities for EBA agreed by different stakeholders at all levels.

The aim of this output was to clarify institutional roles and responsibilities of the various stakeholders involved in the project. This is especially important since, under this outcome area, UNDP and IUCN planned to have different implementation areas. In order to undertake this output, activities involved training and awareness workshops on EBA for the stakeholders at district and local community levels.

Usually, these roles are stipulated at the outset and are contained in the project document.¹⁴ The roles were also discussed and agreed upon during the inception workshop which took place in Mbale on 22nd November 2011. At the time of writing this report, however, memoranda of understanding were being signed between the district authorities and the project to outline the responsibilities of the district and the project. Comments from the district officials indicated that this had been slow in coming, since it was important for some form of agreement to be signed for activities to be implemented by the respective districts.

Output 3.2: Institutional capacity of local governments and other key national institutions to plan, monitor and enforce EBA enhanced

¹³ UNDP (2012). Inception Report - Natural Resource Economist for the EBA in the Mt Elgon Ecosystem Consultancy

¹⁴ UNEP-UNDP-IUCN EBA Project Document (2012)

The government of Uganda is currently implementing climate change adaptation and resilience strategies through the Climate Change Unit (now a Department) in MWE. The intended entry point of this output was to build on current measures by government so as to raise awareness and capacity for stakeholders and decision makers regarding EBA. The aim of this output was to support key government institutions in mainstreaming EBA measures into the climate change policy as well as local and national development plans. This was planned to be done through i) training workshops for central and local government agencies as well as communities on EBA measures and how they can be integrated into development programmes, ii) programme review meetings with key government agencies to provide guidance on EBA integration, iii) coordination workshops with stakeholders from target districts to share information and build capacity, iii) action planning for mainstreaming of EBA and follow-up for technical support and oversight.

A series of community level and national workshops have been held to enhance capacity and create awareness about EBA. In addition, community visioning and action planning have been conducted in a participatory manner while developing community intervention areas, such as the Sanzara gravity flow scheme in Kapchorwa district. Other actions which have been done in fulfillment of this output area includes the facilitation of partners to attend national and international climate change forums, e.g. UNFCCC COP19 meeting in Poland in December 2013.

Output 3.3: Pilot projects focusing on water resources management and enhancement of soil conservation measures implemented

Since EBA is about restoring the natural function of the ecosystem so that it can help people in adapting to the adverse impacts of climate change, a series of activities to implement pilot projects were planned under this output. This would not only help restore the natural function of the ecosystem, it would also gain the support of local stakeholders after experiencing tangible results on the ground. The following activities were therefore planned to achieve this output: i) participatory planning to develop priority activities for implementing restoration projects, ii) implement of one to two restoration projects in high-risk areas for landslides, iii) establishment of a project nursery at district offices to supply restoration projects with tree and other seedlings, iv) alignment of major national restoration and rehabilitation initiatives with emerging adaptation frameworks through an annual national dialogue session, v) collaboration with research projects at restoration and control sites, for experimental learning about EBA, and vi) participatory planning to agree on sustainable water use and management plans to be implemented by the communities.

The community members consulted for this review confirmed that sensitization and training meetings were held at the outset in which the community members were able to develop “visions” using maps to indicate what they would want their areas to look like in future. The major result from this sensitization was that the communities were able to priority climate related problems affecting their areas. This approach is very commendable as it has also resulted in community cohesion, especially in ethnically divided communities and hence contributed to the building of social resilience to climate change impacts.

With regards to ecosystem restoration projects, the implementation approaches by the two partners (UNDP in Bulambuli/Sironko and IUCN in Kapchorwa/Kween) were conspicuously different. After community sensitization, UNDP identified competent community based organizations and disbursed funds to implement a diversity of EBA interventions. A total of 10 grantees were provided with funds to implement interventions such as tree planting for soil conservation, nursery operations, bee keeping and production of unbaked bricks. These grantees include Masaba Integrated Bee Keeping Organization, Masaba Foundation for Development, Bukhalu Eco-Conservation Project, Sangasana Women's Group, Sironko Valley Integrated Projects, Nabuzo Environmental Conservation Project, Tabu Integrated Women's Group, Buwokadala Youth Women and Elderly Project, Buginyanya Zonal Agricultural Research and Development Institute, Eco Development Foundation and Mount Elgon Bee Keeping Organization. A visit to some of the grantees showed that some have been able to plant fruit trees and buy heifers while others have purchased solar power equipment after boosting their bee keeping enterprises with funds from the project.¹⁵ Enhanced production and sale of unbaked bricks has seen the members of the Sangasana Women Group that benefited from the grant become able to send their children to school.¹⁶

On the other hand, IUCN utilized CRISTAL to identify priorities and start community projects and thereafter utilized a "catchment approach" to implement their interventions along major river catchments. Community associations were identified to implement various interventions, including Kapchorwa Community Development Association to promote landscape restoration through capacity building & tree planting in Sanzara parish; Apitrade Africa Limited to promote enterprise approaches for improved livelihoods & healthy ecosystems; Kapchorwa District Local Government for the establishment of a gravity flow scheme for Sanzara parish and Nature Harness Initiatives (NHI) to design an incentive mechanisms scheme. A baseline study involving the use of GIS was conducted to map the entire Mt. Elgon ecosystem (with particular emphasis on Kapchorwa and Kween districts) in order to provide baseline information for EBA eco-restoration projects.¹⁷ IUCN also utilized the outputs of the community visioning and action planning to implement projects in the priority interventions identified by the communities. For example, a gravity flow scheme was established in Sanzara parish, Kawowo sub-county, Kapchorwa district. Management of the GFS has been linked to community governance structures and this has led to the formation of maintenance committees to oversee and coordinate the catchment management actions. Although the GFS was intended to provide water for domestic and agricultural production, only the former component has been fully achieved to-date. There is need to quickly complete the second component, of water for agricultural production which was also a community need.

¹⁵Bosco Kisaali, personal communication – August 2014

¹⁶Catherine Nabutsale, personal communication – August 2014

¹⁷IUCN (2012). GIS mapping for Mt Elgon baselines to inform EBA interventions. Consultancy report submitted to IUCN Uganda Country Office, Kampala, Uganda.

Output 3.4: Market opportunities and access enhanced

The aim of this output was to enhance the economic livelihoods of the local people living in the Mount Elgon ecosystem by encouraging communities to engage in alternative economic options and hence facilitate the recovery of the natural health of the ecosystem. Through a consultative process, the project intended to determine how to enhance market opportunities and access for local communities in the project sites. This was envisaged to be achieved through the following activities: i) mapping, identifying and promoting market opportunities for ecosystem products that enhance the value of the ecosystem, ii) leveraging resources for expanding market opportunities, enhancing access to markets and generating alternative livelihoods.

The two partners (UNDP and IUCN) have contracted the services of prominent Non-Government Organizations (NGOs) to administer a performance based incentive scheme (adaptation fund) as a market based incentive for the community to engage in building healthy ecosystems. At the time of writing this report, UNDP has contracted ECOTRUST to set up relevant structures and establish a “payments for ecosystems services” (PES) facility to use project funding to incentivize community involvement in reforestation, soil and water conservation to address flooding, landslides and soil erosion in the Sironko and Atari river catchments. ECOTRUST is also required to facilitate grants management and establish a strategy to sustain the PES facility in the long term. On its part, IUCN has contracted Nature Harness Initiatives (NAHI) to promote a performance-based incentive scheme (adaptation fund) for enhancing social and ecological resilience to climate change impacts in the river Sipi catchment. In addition, IUCN has been able to support Kapchorwa Community Development Association (KACODA), a local CBO involved in milk and honey production, processing and marketing to form a savings and credit cooperative organization (SACCO) by linking them to SAMEER Group for sustainable marketing of their milk.

Output 3.5: Lessons learned from pilot projects captured and disseminated

This output aims to reinforce existing efforts towards strengthening communication, knowledge sharing, and more active cooperation among various climate change stakeholders in Uganda. This was envisaged to be achieved through the following activities: i) formulation of a knowledge management/communication strategy and plan to disseminate lessons to relevant stakeholders at the national and international levels, ii) establishment of a dedicated website for the project, iii) documentation and publishing of lessons learnt; and organization of multi-stakeholder forums to share lessons learnt.

The project has organized its stakeholders under the Mt. Elgon Stakeholders Forum through which knowledge products are disseminated. In addition, the project developed its communication strategy in February 2014 which recommended information products, an integrated electronic platform, multimedia campaigns and field study tours among others. With regards to a dedicated website, the global project operates a poorly maintained site at <http://www.ebaflagship.org> where some documents are posted. In addition, the Mt. Elgon Stakeholders Forum has a website which holds some information and sometimes carries notices of EBA project meetings (<http://mtelgonforum.org>).

Outcome 4: Business case for EBA at the local and national levels developed

To make a business case for EBA, the project intended to use the best methods and practice for socio-economic evaluation of adaptation options. This would then provide an economic justification for support from relevant government institutions for the use of EBA as a climate risk management strategy. To this, it was envisaged that i) an enabling environment for scaling-up EBA at national level would need to be created; and ii) information and capacities would be readily available with key government stakeholders so as to integrate EBA into national development planning processes and climate change policies and strategies.

The above was expected to be achieved by i) developing a communication and policy influencing framework linked to the project's M&E framework, ii) developing methodology (Economic Assessment, Cost Assessment Scorecard; Financing and Policy Framework) clearly indicating the indicators for project deliverables, iii) conducting annual economic assessments to determine economic values of EBA to sector outputs, given different climate change scenarios, iv) conducting Country Financing Assessments (Management Options; Costs co-efficient; Cost Effectiveness, Revenue Options Analysis), and v) drawing up a Financing and Policy Framework for EBA at national level that would include policy needs and revenue options for EBA scale up.

At the time of conducting this review, a 6 – month contract had been awarded to a consultant to deliver the above mentioned achievements.

4.0 ASSESSMENT AGAINST PERFORMANCE INDICATORS

4.1 Achievement of Objectives, Planned Outputs and Results

In the self-assessment questionnaires, project staff and key stakeholders were requested to report progress on achievement of objectives, planned outputs and results. The set objectives of the project included developing contextualized tools at the landscape level, application of the tools at field level, building adaptive capacity at community level through ecosystem restoration (pilot) projects, promoting adaptation options and strengthening resilience, generating critical learning lessons for evidence based advocacy and informing policy processes, and building a case at the national level. In practice, few provided responses in quite as much detail as to report progress by objective, output, result or even indicator by indicator.

However, it was possible to review achievement through the mixed methods approach, including questionnaires, focus group discussions, face-to-face interviews and relevant detail obtained. This has been presented in the foregoing section. Based on the information available, it then became possible to assess progress to-date against the set objectives. On the basis of this analysis, the review concludes that the project is performing fairly well and is on track on all the outcomes and related outputs.

The project document describes the expected outputs and outcomes in a logical way, with one component and outcome setting the scene for the next. However, activities were not implemented in a logical manner as outlined in the project document. This may partly be attributed to the delay in project commencement, the lack of local presence of UNEP representation and the option to utilize the “no-regrets” implementation approach. For example, many “no-regret” pilot projects were supposed to be informed by a VIA which was only conducted during year 2 of the project implementation. However, these “no-regret” pilot activities present a learning experience for the project and could be used to inform all subsequent activities. Moreover, there is now need for closer monitoring and support to ensure that full achievement of the objectives, given that the mode of implementation by UNDP is different from that of IUCN.

Rating: 4 (Marginally Satisfactory)

(Justification: Overall, the project performance on achievement of objectives, indicators and results has been good, as discussed in section 3 (3.1 – 4.1). The project seems to have started at a slow pace and the use of consultancies has been very useful in speeding up and delivering the required results. However, the project is behind schedule in developing the business case for EBA while some improvement is required (as discussed in subsequent sections after this) in effectiveness and efficiency for maximum achievement of project outputs and results. Hence a rating of 4 is given).

4.2 Coverage

Geographically, the project has selected appropriate area for its work. The project is currently tackling pertinent issues, arising out of informed decisions derived from earlier work as in the

case of IUCN activities and from scoping work (as in the case of UNDP). The four districts offer different climatic contexts and challenges. Even within the same district, there are varying contrasts of climate related challenges faced by different areas. Thus, the selection of the different types of adaptation options suited to diverse geographical realities was appropriate, although focusing on a small number of communities, instead of larger area would also present an approach with clearly visible impacts in a small area.

The dichotomy of implementation sites between UNDP and IUCN presents a case of marked contrasts, especially given that the approaches used by the two agencies were also different. While UNDP utilised the “livelihoods” approach and funded CBOs to implement activities, IUCN used the “catchment” approach and past experience in the region to work along major river catchments. The latter approach allowed IUCN to fast track the implementation of interventions in the communities while the former approach meant that proposals were subjected to a lengthy selection process. In addition, while the IUCN approach has allowed the implementing partner to continue with activities in these areas, the UNDP selected beneficiary CBOs who were provided with funds for one years’ duration are now wondering whether they are still part of the project or not.

While the dichotomy of project implementation sites may be good to avoid duplication and promote synergy, it also spreads impacts too thin on the ground. Project impact may actually be very visible if all the three partners had worked in one area (perhaps a district) with each partner implementing activities in which they have comparative advantage. For example, UNEP would work on components 1 and 2 (identify, develop and apply the methodologies) while IUCN would work on ecosystem restoration along river catchments and UNDP on alternative livelihoods in the same communities of the same area. In this way, there would be a multiplied impact since the beneficiaries of all the three partner interventions would be the same communities.

Rating: 5 (Satisfactory)

(Justification: Despite the differences in selection of beneficiaries for pilot projects between IUCN and UNDP, the project has targeted critical interventions that can benefit entire communities such as Gravity Flow Scheme, Tree seedling nurseries, Bee keeping, Unbaked brick making, Soil and Water conservation, etc. The choice of different areas for implementation of activities by IUCN and UNDP was an approach that avoided duplication and maintained synergies, especially through stakeholder meetings and field visits. Hence a rating of 5 is given).

4.3 Relevance

Relevance is defined by the extent objectives address the needs and contexts of beneficiaries, as well as the priorities of the Government of Uganda. The project’s relevance emanates from the needs and feedback expressed by government planners and decision makers and other beneficiary communities in the project area. The incorporation of such feedback ought to inform future project implementation.

The EBA project is linked to the MDGs, NDP, UNDAF and UNDP CPAP as it seeks to ensure environmental sustainability, develop a global partnership for development, promote

sustainable population and the use of environmental and natural resources. The project complements the efforts by the Government of Uganda in implementing the different action plans embedded in the NAPA. The EBA project is addressing the challenges of climate change in the Mt Elgon ecosystem in consistence with its goal of *“building strong resilience for ecosystems as a basis for livelihood improvement and adaptation.”* It is doing this by involving the local communities in the four project districts in ecosystem based planning and adaptation to the impacts of climate change. The project is also contributing to four of the National Development Plan 2005-2015 objectives, viz, 1) develop national capacity for coordination and implementation of climate change adaptation and mitigation activities in support of social welfare and national development; 2) ensure climate proof development planning; 3) promote low carbon development path; and 4) meet Uganda’s international obligations on climate change. The activities implemented by the EBA project are therefore aligned with national priorities and they are in support of the National Development Plan.

The project outputs, such as the VIA, GIS-generated hazard maps, enhanced technical expertise by both the district officials and local beneficiaries through action planning and visioning enables these partners to better plan and deal with climate change adaptation options. Moreover, spatial data generated from the different studies conducted by the project are available for use by the district and national planning authorities. The institutional capacity and framework for delivering on the project outputs fairly good as there is committed project staff, a spirit of team work and adequate infrastructure and logistics. The level of participation has been high at the national level and very good at the local government (district) level.

At the community level, climate change is not yet well conceptualized. To address the impacts of climate change, it is imperative to address issues of livelihoods as these are the drivers of ecosystem degradation. Responses during focus group discussions during this review indicated that more sensitization and awareness building is still necessary. There was a feeling that the project is laying more emphasis at the policy level rather than livelihoods, probably because of the design. Respondents felt that there was need for evidence based interventions which were thought to last longer and are more sustainable.

Rating: 6 (Highly Satisfactory)

(Justification: The project is highly relevant as it addresses a region that has very high population and is facing very serious impacts of climate change, including deadly landslides, flooding, drought, pests and diseases and a decline in soil fertility. The project also presents an opportunity to build the livelihood base of many local communities and strengthen relevant local and national institutions in sustainable management of the Elgon ecosystem. It will also result into the development of up-to-date data on climate change in the project area and present district authorities with tools and methodologies to develop critical and relevant interventions. Hence a maximum rating of 6 is given).

4.4 Effectiveness

Effectiveness measures the extent to which activities contribute to achieve outcomes, on whether objectives are being achieved on track or not. Against indicators and targets as laid out in the project document, the project has performed satisfactorily! This has been mainly

due to the very good engagement at the local district levels and ownership at both the national and district levels. In addition, the project delivery strategy has been instrumental in making it effective. The project document has imbedded in it, biannual programme reviews as a platform that gets all stakeholders to discuss issues emanating from the project at district level. While at the national level there are quarterly National Steering committee meetings that are inter-ministerial in nature.

Stakeholder participation has been high throughout the project activities, such as scoping, inception, action planning, review and sharing workshops, reflection and planning meetings, exchange and learning visits. The project has conducted a theory of change workshop that enabled partners to understand and agree on a common logical framework and Implementation Strategy together with an M & E Framework. Several forums/workshops have been held to improve the understanding of the aims of the project including several radio programmes and TV shows. The project has supported a number of capacity building and sensitization workshops. These regular forums (quarterly and bi-annual meetings) provide an opportunity to building consensus on contentious issues. The biggest buy-in has been through dialogue and having engagement with the local communities. District technical team are involved in the monitoring of EBA activities at district level and are in the process of incorporation EBA activities in their district plans. Institutional capacity has been built to incorporate EBA in planning.

Through the capacity building and small grants support, there has been a lot of involvement of the Government stakeholders and district officials in EBA activities. The small grants and revolving adaptation fund introduced by the project are critical incentives to the implementation of the project activities and interventions since they offer immediate solutions to some of the community needs. Further still, incentives in form of grants (no-regrets pilot activities) have been able to meet farmer's expectations. This is evidenced by the higher success levels in communities that received grant funding. Small grants support has also been demand driven and has provided communities with alternative livelihood that do not interfere with the ecosystem and for some interventions, the livelihoods restore the ecosystem for example bee keeping, and sustainable agricultural practices. Some of the grant recipients indicated that they have planted fruit trees and bought heifers while others have purchased solar power equipment after boosting their bee keeping enterprises with funds from the project.¹⁸ Enhanced production and sale of unbaked bricks has seen the members of the women group that benefited from the grant become able to send their children to school.¹⁹

The success of the project and its interventions is greatly linked to how fast it addresses the most pressing community needs. Short term interventions (cook stoves, water scheme, grants) therefore generate a lot of interest in the project and its long term interventions. The use and adoption of cook stoves as an intervention is largely dependent on the design of the stoves therefore the design should be made in accordance with the requirements of a specific mode of use. In addition, most of the climate change adaptation interventions such as tree

¹⁸Bosco Kisaali, personal communication – August 2014

¹⁹Catherine Nabutsale, personal communication – August 2014

planting, take a long time to show any impacts; therefore, related projects should be given enough time to take effect. However, incentives such as loans should be carefully provided to avoid their negative effects through proper sensitization drives. In addition, the incentives should be backed by group security since their success can only be ensured if backed by group security. This is because most of the communities are poor and may not be able to provide individual security in order to secure these loans.

While there have been positive strides in terms of effectiveness, there are some mitigating factors that have impeded all-out achievement in this area. One of the biggest mitigating factors is the project management and reporting structure. The National Coordinator, who would be a link between the three implementing partners, was recruited by and reports to one of the partners (UNDP). On the other hand, the IUCN-EBA project officer was recruited and as a result reports to IUCN in the first instance, rather than the National Project Coordinator. The executing function of MWE has also been infringed upon and as a result the ministry only performs steering committee functions. Moreover the reporting and evaluation guidelines are different for IUCN and UNDP. Therefore, the implementation arrangements in Kapchorwa and Kween have been managed differently from those in Bulambuli and Sironko.

In addition, although there has been an attempt at creating an enabling environment, LOAs and MoUs have just been signed between the districts and MWE, which has impeded understanding of the roles and responsibilities of the local government partners. This has contributed to the slow buy-in by the district technical team, delayed procurements and slow harmonization of policies between, especially the two partner organizations viz. UNDP and IUCN. There were concerns raised by many stakeholders about some meetings which have been postponed at the last minute, the rather long delays in funds disbursement and/or payment of re-imbursements by UNDP. This has had an impact on the morale of local government officials and community partners. Lack of commitment from local government officials can impede progress in implementation when certain issues are not anticipated and properly addressed by the PMU and NPSC.

Moreover, the different levels and number of local government departments and other partners involved can impede progress in implementation when issues are not anticipated and properly addressed. In addition, there is need to address critical issues that are latched upon by politicians for their own ends. If this is not intricately handled, it can be a serious barrier and has the potential to slow down smooth introduction of project interventions. It is therefore important that, in as much as cross-linkages with different players are major ingredients in successful adaptation programs, a common understanding and rapport has to be skillfully developed for the appreciation of ecosystem based adaptation.

The project has not quite done well in disseminating project achievements, knowledge products and lessons learnt. The project developed its communication strategy at the beginning of 2014 which recommended information products, an integrated electronic platform, multimedia campaigns and field study tours among others. This document was supposed to be developed at the beginning of the project implementation to guide the communication mechanisms. Internal communication has been good, while external

communication needs lots of improvement. A few products by UNEP²⁰, IUCN²¹ and communication releases on the UNDP Uganda website: <http://www.ug.undp.org/content/uganda/en/home/presscenter/articles/2014/07/04/governance-body-for-the-eba-project-in-uganda-holds-its-second-meeting/> have been seen by this consultant. The global project operates a poorly maintained site at <http://www.ebaflagship.org> where some documents are posted.

Rating: 4 (Marginally Satisfactory)

(Justification: The project has been good in effective implementation of activities. There is very good engagement at the local district levels and ownership at both the national and district levels. The Project Management Unit has been very effective in dialoguing with stakeholders through biannual programme reviews, NPSC engagement through meetings and capacity building workshops. The activities planned have been implemented despite the delay in project commencement. However, the effectiveness has been compounded by the lack of harmony and uniformity in project implementation between UNDP and IUCN. In addition, there are many concerns raised by stakeholders about delays in funds disbursements, reimbursements and sometimes, even cancellation of meetings by UNDP. Hence a rating of 4 is given).

4.5 Efficiency

One way of looking at efficiency when considering project performance is to look at the extent to which financial disbursements were made in a timely enough manner to spend on planned activities, and at the extent to which the project has been able to spend within budget. Based on observation and interviews made during the review, the level of efficiency with respect to implementation arrangements varied from one partner to another. This may be attributed to differences in financial disbursement and reporting mechanisms between UNDP and IUCN. Nevertheless, there has been an efficient system of community sensitization and mobilization for project activities. Such intense engagement of beneficiaries has the potential to have long lasting benefits for them.

As was discussed in the Effectiveness section above, the systems in place for reporting, monitoring, and management of this programme are complex, vary from partner to partner. The channels for financial reporting and for disbursement of funding mirror the channels for narrative reporting and technical support and are different between UNDP and IUCN. Procurements are done under the procurement unit of UNEP, UNDP and IUCN. In the self-assessment questionnaires, respondents had numerous complaints in the area of efficiency. Recurring responses dwelt on the delays which had been experienced in financial transfers by UNDP, to the detriment of timely implementation of activities. There have been challenges in transfer of funds to participants due to the UNDP process of wiring money to individual accounts. Sometimes participants complain that they get the funds late or not at all and yet they travelled long distances and pay for accommodation thereby requiring re-imbursement.

²⁰UNEP, UNDP, IUCN. Ecosystem Based Adaptation brochure

²¹IUCN (2012). Restoration of the River Sipi Micro-Catchment as an Ecosystem-Based Solution to Build Social and Ecological Resilience of the Sanzara Community to Climate Change Impacts

During discussion with the National Coordinator and Project Officers, it was acknowledged that the reason for the above concerns were unavoidable due to the rigid reporting and accounting requirements of UNDP.

The expenditure to date for the project is in line with expectations. While data for annual disbursements were not readily available, the UNDP component is spending just slightly below their annual budgets. This is understandable given the rigorous financial systems at UNDP. This is an opportunity to review the financial disbursement system for the UNDP component since it is an area that has the potential to impact on efficiency and affect the overall outcomes of the project.

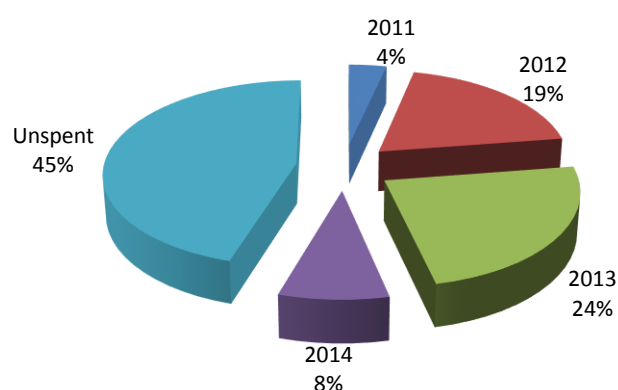


Figure 1. Annual Project Expenditure from 2011-2014

From the pie-chart above, it is apparent that the project has an unspent balance of 45% of the total budget. UNDP has so far spent over USD 120,000 on contractual services for individuals (e.g. consultancies), over USD 40,000 for individual consultancy services. About USD 100,000 has so far been spent on grants to CBOs to implement no-regret pilot projects. By the time of filing this financial information, no services had been contracted out yet to companies. The highest expenditure for the IUCN-EBA component has been in the procurement of supplies and inputs. This is because IUCN implemented projects where they directly procured and supplied tools, equipment and supplies such as tree seedlings to the beneficiaries. For example, the gravity flow scheme at Sanzara cost about USD 100,000. Over USD 100,000 has been spent on sub-contracts while over USD 80,000 has been spent on training of government agencies on EBA, participatory training and action learning on ecosystem restoration, conservation farming and livestock husbandry.

Rating: 5 (Satisfactory)(Justification: overall, there has been high efficiency in the use and utilization of project resources. The resources have been utilized to implement projects at catchment level in the case of IUCN and CBO projects in the case of UNDP. In addition, highly relevant studies have been conducted resulting in outputs/recommendations that are currently being put into effect by the project. In addition, several training workshops and capacity building activities have been implemented by the project. Hence a rating of 5 is given).

4.6 Sustainability

Sustainability is a critical consideration in any situation where donor inputs are high. Sustainability can be considered at three levels, viz. social, economic and ecological (at the ecosystem level). Social sustainability should be considered at the community acceptability and buy-in level and this can be achieved by building understanding for EBA, skills and technical knowledge as well as social perspective to external interventions. Economic sustainability has to do with benefits derived from EBA interventions as well as financial ability to sustain the required level of adaptation and resilience. Ecological sustainability is more generic and visible at the landscape level and will be visible at the impact level of the project. At the end of a project, sustainability is therefore highly likely where there is sufficient ownership of project results, capacity and resources. Therefore, sustainability may depend greatly on how much is allocated for continuance of project activities.

The following activities were reported as having been taken up by the project beneficiaries, i.e. improved cook-stoves, unbaked brick making, tree planting and bee keeping. Moreover, the project beneficiaries for the pilot projects report that they are still continuing with activities that were financed by the project, even after the financial support from the project is over. This indicates that these communities have taken on project fostered ecosystem resilience and adaptation strategies. In addition, the project involves partners, especially the district officials, in monitoring and reporting, and shares work plans and budgets. The formation of a 5-member task force to manage community projects, especially with the IUCN implemented projects is positive step in ensuring sustainability of the community projects.

Other sustainability strategies include the formation of Mt. Elgon Stakeholder Forum (which is currently housed by the EBA-IUCN Project Office in Mbale), involvement of local governments in ecosystem based resilience and adaptation strategies, community co-ownership of the project interventions and pilot projects, such as the Sanzara gravity flow scheme, and the linkage with other similar initiatives, such as the involvement of EcoTrust (which is active in carbon financing through tree planting) in grant management. The involvement of the National Climate Change Policy Committee as the national project steering committee (NPSC) provides opportunity for continuity of project achievements as well as government focus. Such a multi-sectoral outlook that is depicted by the membership of the NPSC brings on board different strengths and professions, which should be clearly evidenced by the interventions by the project.

Although action plans for the integration of EBA in the district policy frameworks have been formulated, sustainability may be hampered by the fact that mainstreaming climate change in local government structures is just taking shape and most climatic hazards are usually restituted by the central government. It is also just assumed that government and the beneficiary communities will be able to carry forward the work and sustain the project achievements in future. However, while the districts in the project area are in the process of integrating EBA in their 5-Year Development Plans which are currently under discussion, the difference in facilitation of district officials between UNDP and IUCN are having impacts on commitment. In Kapchorwa and Kween, the district officials acknowledged that they are facilitated with fuel and a modest per diem while on project work whereas those of Bulambuli and Sironko indicated that they are not. This is exacerbated by the fact that the district natural

resources sector is poorly funded thereby limiting sustainability of activities such as data collection for indicators after project funding has ceased. For ecosystem based adaptation and resilience activities to be sustained in the future, the project should devote some resources to undertake more meaningful engagement with district leaders through forward planning and budgeting to ensure that the identified EBA options are mainstreamed and institutionalized in the district work plans and budgets.

Rating: 4 (Marginally Satisfactory)

(Justification: The project has set up strong sustainability measures which include the formation of an umbrella organization – Mt. Elgon Stakeholder Forum – and community project management task force committees, involved local government technical teams in project planning and budgeting, and linkage with similar initiatives in the region. Perhaps one of the strongest points is the selection of the National Climate Change Policy Committee as the national project steering committee. This will provide the national policy and sustainability influence that can be of immense benefit to the project. However, due to the seemingly low rapport with the district technical teams from Sironko and Bulambuli, a rating of 4 is given).

4.7 Impact

Impact includes both positive and negative planned and unintended effects and/or spinoffs of a project or intervention. It is hard to assess impacts after only two years of project implementation. It is also not easy to attribute the achievements of a CBO only to the EBA project. It is, however, not farfetched to state that the project had contributed to the much increased awareness and understanding of climate change related issues. This has been achieved through the various capacity building activities that have been implemented. A visit to some of the beneficiaries of the small grants, nevertheless, extolled the benefits accruing from the EBA project funding. According to Bosco Kisaali, one of the grant recipients, they used the funding to boost their beekeeping and passion fruit farming enterprise and therefore boost their earnings. Proceeds from the sale of honey and passion fruits have contributed to the purchase of dairy cows and acquisition of solar equipment. Catherine Nabutsale, who runs a women's group, explained that project funding helped boost their unbaked brick enterprise to the extent that many women are now able to send their children to school given the better sales. Clearly, while this cannot be attributed solely to the project, it has contributed in improvement of livelihoods.

The collaborative nature of the EBA project implementation has also produced some immediate impacts. At the community level, there has been some improvement in attitudes towards tree planting, especially for river bank protection. There is much more protection of river banks, especially in areas where the project had been active. A visit during this review and subsequent discussions with community members in Bugitimwa sub-county in the high slopes of Mt Elgon showed that many people are now not opposed to using a belt of their land along river banks for tree planting. This attitude developed after seeing the benefits of soil conservation from the persons who had planted trees along the river banks in their land.

At the local government level, there has clearly been more appreciation of issues of climate change. The ongoing discussions for the district development plans for 2015 – 2020 have seen

a central discussion of enhancing resilience adaptation to climate change.²² At the national level, issues of ecosystem based adaptation are presently being considered for incorporation in the National Biodiversity Strategy and Action Plan (NBSAP) for Uganda.²³

At the policy, legal and institutional frameworks level, the EBA initiative has seen Uganda joining together with Zimbabwe to sponsor a motion which was finally adopted as resolution UNEP/EA.1/L.12 at the first session of the United Nations Environment Assembly which took place between 23 and 27 June 2014 in Nairobi, Kenya. The resolution requests the UNEP Executive Director to “...continue providing and enhancing support to developing countries for the development and implementation of community-based, national and regional EBA programmes and activities ...,” and for UNEP “... to continue its collaboration with the United Nations Development Programme (UNDP) and other relevant institutions and organizations to integrate ecosystems as a key element in national adaptation planning processes”²⁴.

There is, however, a lot that requires to be done to enhance the clear assessment of indicators at the impact level. At the time of this review, the project was just developing the impact indicators. An impact indicator workshop was held in mid July 2014 and a draft set of indicators have been developed for the project pending further discussion by project partners and stakeholders. In addition, some project activities such as tree planting require more time for an impact assessment.

Rating: 4 (Marginally Satisfactory)

(Justification: It is usually not possible to find any impacts of an intervention only 2 years after start. It is also much harder to attribute a given impact solely to a given intervention. However, given the testimony from community members and district officials, and on-going discussions at the national level, it is clear there is some movement towards creating impact by the EBA project. Given the short period of time in consideration, a rating of 4 is therefore given).

Table 3. Summary evaluation matrix of EBA project mid-term performance

Performance indicator	Rank	Achievement	Basis
Achievement of objectives and planned results	4	Marginally Satisfactory	Behind schedule in some achievements. Many planned results been achieved and what remains is to concentrate on knowledge management.
Coverage	5	Satisfactory	Very Good with coverage in all the 4 pilot districts, although a smaller area with all interventions in the same communities would have probably had bigger impact.

²²Personal discussion with the DNROs of Bulambuli, Sironko, Kapchorwa and Kween districts – 22 to 23 July 2014.

²³Discussion at the Second Stakeholders Technical Review Workshop or the Review and Updating of the National Biodiversity Strategy and Action Plan (NBSAP) for Uganda held at Brisk Recreation Hotel, Jinja. 28th July – 1st August 2014.

²⁴Earth Negotiations Bulletin, 30 June 2014.

Relevance	6	Highly Satisfactory	Addressing a very critical problem in the project area and it answers to the country's development needs including the National Development Plan (NDP) and United Nations Development Assistance Framework (UNDAF).
Effectiveness	4	Marginally Satisfactory	Project management and implementation has been spot on despite a few hiccups that need harmonization amongst the partners in their policy of delivery.
Efficiency	5	Satisfactory	There has been very good use of resources to the targeted communities. Resources have only been compounded by challenges in funds disbursement for some activities in the field.
Sustainability	4	Marginally Satisfactory	There has been a strong sustainability structure at the district local levels and this rapport with local government officials needs to be sustained
Impact	4	Marginally Satisfactory	Great strides are being made in creating impact.

5.0 CONCLUSION, LESSONS AND RECOMMENDATIONS

5.1 Conclusion

In conclusion, the MTR found that the EBA project is interdisciplinary and complex with many diverse and cross-cutting activities being implemented by three partners through many institutions. Nevertheless, the EBA project is highly relevant to the priorities for climate change adaptation and resilience in the Mt Elgon ecosystem and the country at large. The project is performing well, with achievement over and above what might be expected by mid-term, especially given the constraints that it has and is facing, including delayed commencement, multiplicity of partners and diversity of reporting channels. Implementation is well under way in all the four components but component four is yet to produce outputs since two studies are just under way.

Good progress has been made against the projects planned work plan, with targets for achievement by mid-term largely having been met or surpassed. There is already evidence of change having been brought about by the project in some beneficiary communities where it is being implemented. To date most of this change has been at fairly scattered scale. In order to ensure that the project achieves its overall aim of building strong resilience for Mt. Elgon ecosystem as a basis for livelihood improvement and adaptation, concerted efforts need to be made over the next two years to improve the documentation and dissemination of project outputs. In order for this to happen, increased emphasis and investment should be given to extracting, documenting and sharing lessons from the project and to ensuring that these lessons are feeding in to high level advocacy and policy. In addition, concerted effort needs to be made to correct the project coordination structure and reporting mechanisms. Similarly, exit strategies that have been identified should be strengthened through concerted efforts of all partners to ensure that sufficient consideration is being given to the sustainability of project outcomes.

5.2 Lessons learnt

These lessons learnt refer to the experiences of the consultant regarding the operation and functioning of the EBA project rather than what has been learnt by the project management during the period of the review. The lessons are intended to improve the design and implementation of the EBA projects and similar projects in the future.

1. The EBA project is executed under a partnership with different reporting structures and is managed using a process of formally written and signed agreements/memoranda coupled with informal methods such as phone calls, e-mails, peer-to-peer communication and partner visits. However, as noted in section 4.5 of this report, there are challenges that are presented by this partnership in the implementation of the project. The learning lesson here is that partnerships are usually complex in nature due to their inherent variance in operational procedures which in most cases causes lack of harmony in decision making which delays execution of project activities. The success or failure of the EBA project is therefore be determined by how the partners handle project challenges and opportunities.

2. Most of the instruments which are necessary for sustainability, like policies or strategic plans for ecosystem based adaptation are yet to be developed at the local government level. Focus group discussions for this MTR at the district level revealed that the district development plans are currently under revision and ecosystem based adaptation is only being proposed for inclusion. While this is an opportunity for the project to spearhead the mainstreaming of EBA in the policies and strategic plans contained in the district development plans, it is apparent that emphasis has hitherto not been laid on EBA per se.
3. Poor funding to the district environment sectors in particular and district local governments in general affects integration of useful interventions, such as EBA in the district policy frameworks, which in turn affects prioritization, buy in and sustainability. The district Natural Resources Officers interviewed for this MTR indicated that funding for the environment sector is still very poor and this has greatly impacted on the successful prioritization of interventions such as EBA in district work plans.
4. Working in collaboration with experts and centers of excellence, such as reputable individuals, consultancy firms, and research and training institutions pays for project implementation as they can provide expertise and produce results in short time periods. Despite the delays experienced in kick starting many project activities, the PMU developed a strategy of working with centers of excellence (such as Universities and Research Institutions) and experts as consultants to deliver the project outputs, such as the EBA options and best practices, VIA and communication strategy.
5. Active involvement of the key partners, especially the political and technical leadership at the districts, is important for ownership, buy-in and sustainability of interventions, such as those being promoted by the EBA project. During several meetings conducted for this VIA, it was repeatedly pointed out that the district focal persons i.e. District Natural Resources Officers have the full blessings of the political leadership of their respective districts. Indeed, the Mt. Elgon Stakeholder Forum, presently led by the District Resident Commissioner for Busia district, is important pathway for creating acceptability and buy-in of project interventions by the local communities.
6. Roles and responsibilities of implementing partners, key stakeholders and project beneficiaries should always be clarified at the outset before project implementation. Memoranda of Understanding and/or letters of agreement should always be designed and signed before project implementation starts. This avoids delays and mistakes and promotes rapport between the project implementation actors. In one of the stakeholder meetings with District Natural Resources Officers during this MTR, it was revealed that MoUs were at that time in the process of being signed between the districts and the Ministry of Water and Environment for implementation of EBA. This, it was noted, was very necessary and essential for clarification of responsibilities although it had been implemented rather late.

7. A communication and knowledge management strategy should always be formulated at the onset of the project implementation. This would then guide the monitoring and evaluation framework and dissemination of project outputs for visible impacts. As noted in section 4.4 of this report, effectiveness of the project can greatly be affected by lack of a good communication strategy. In this case, a communication strategy has been developed but implementation has rather been scant.
8. It is important to carry out a proper community/social assessment before selecting CBOs for pilot or project activities. This is because each community and CBO is unique and as such community buy-in and entry techniques should be specific to this uniqueness. This way it will be possible to know the possible social issues that may affect the implementation of the project such as land ownership, ethnicity, economic status and gender issues among others. This has been the case in the implementation of this project, whereby two contrasting approaches i.e. the livelihoods approach of the UNDP-EBA component in Sironko/Bulambuli districts and the catchment approach of the IUCN-EBA component in Kapchorwa/Kween districts have utilized community/social assessment for deciding on appropriate no-regret activities.
9. Change of attitudes takes a long time to be realized; however with continual sensitization and capacity building this change may gradually be realized. During key informant interviews for this review with the District Natural Resource Officers, it was pointed out that buy-in of river bank protection by use of tree planting has been slow in taking root because of community attitudes about land and its ownership. However, it was noted that attitudes are slowly changing for the better.
10. Knowledge about EBA is still limited; rather most people talk about climate change adaptation holistically. Even in the project area, the project is referred to as IUCN and/or UNDP project. This concern was variously raised by several stakeholders as well as the EBA Project Officers. As noted in section 4.3 of this report, more sensitization needs to be enhanced for the project to achieve the intended awareness effect.

5.3 Recommendations

1. The EBA project has achieved a lot of results but much still needs to be done. To be able to effectively respond to the impacts of climate change and develop resilience among the communities in the project area, the Project Management Unit together with government (Ministry of Water and Environment) and relevant stakeholders e.g. district local governments of Bulambuli, Kapchorwa, Kween and Sironko, should build an appropriate exit strategy in their implementation for sustainability, involving an ownership model among the local governments and project beneficiaries.
2. The Project Management Unit should ensure that interventions take into consideration gender differences. For example, while women work in the gardens, they do not own land and would most likely be more interested in interventions such as food crops, medicinal plants, handicrafts as sources of livelihoods, etc. Tree planting, per se, which is usually a big component of most climate change programmes, would actually make the women more vulnerable since in most cases

the trees are owned by men and while the women are the major users of products such as firewood, the men would prefer to sell firewood to earn money.

3. Moreover, even the pilot projects so far implemented, are small and scattered in nature to create meaningful impact. It would have been much more meaningful to concentrate resources in one area and show case successes of ecosystem based options to adaptation to the impacts of climate change, which would then be scaled out to other areas.
4. Implementation of the project has experienced challenges arising out of the variation in operational styles, systems and modalities between UNDP and IUCN. The operational procedures of NGOs such as IUCN are flexible compared to those of the UN agencies. The variation therefore explains the differences in buy-in of the EBA project between the districts of Kapchorwa and Kween on the one hand, and Bulambuli and Sironko on the other. Therefore, it is important to harmonize the implementation procedures since three different institutions are involved in the partnership. All three partners (UNEP, IUCN and UNDP) should agree on a standard reporting format and operations that meets the needs of the individual partner (MWE) but also serves the purposes of the project.
5. The systems in place for reporting, monitoring, and management of this project are complex, and vary from partner to partner. The channels for disbursement of funding for the most part mirror the channels for narrative reporting and technical support for each partner. The project coordination and reporting structure should be revised. The National Project Management Unit should be responsible to the National Project Executing Partner (in this case MWE) so that it is not associated or viewed as an appendage of one of the implementing partners to the exclusion of others. This would also ensure that MWE takes on a role greater than that described for the steering committee for which it is just a member. Each partner, UNDP and IUCN, would then retain their respective Project Officers and Focal Persons who would then provide technical reports to the National Coordinator. In addition, since funding for IUCN is directly disbursed from UNEP, the focal persons in each of the partner organizations would then be responsible for financial and progress reporting to UNEP. The National Coordinator would collate the reports and report to the NPSC for upward consideration by the Permanent Secretary (MWE) and subsequently to BMUB through UNEP.
6. Discussions should be held between the NPSC and the national coordinating institution for EBA (in this case UNDP) about the possibility of a Projects Coordination Account at MWE and Project Implementation Account in Mbale for the UNDP-EBA Project Officer so as to shorten the length of time taken to draw funds for project activities. Funds for coordination of project activities would then be disbursed by UNDP to MWE while implementation funds would be disbursed from UNDP to Mbale upon satisfactory quarterly reporting and accountability. This structure is already available in the IUCN component and has proved to be very effective for timely implementation of activities. It would also avoid some of the exigencies such as procurement requirements within UNDP which are amenable to change.

7. There should be more sharing of achievements and lessons learnt through publications, mass media and internet. This could, perhaps, be enhanced by the recruitment (at the national level) of a Communication, Documentation or Learning Manager with GIS skills. This idea should be given due consideration by the project coordinating institution i.e. UNDP.
8. Interventions aimed at encouraging tree planting, especially along river banks have to put livelihood improvement into consideration. This is because communities will usually associate tree planting along river banks and on specified areas of land with loss of productive land. In addition, communities need very close monitoring and supervision if a project is to be successful. Without close monitoring, communities tend to lose focus and interest especially when they face challenges and don't get immediate help. Moreover, already existing community groups work much better than the newly created groups because of the solidarity and understanding built over time. Therefore, comprehensive scrutiny of all groups should be made by the project technical committee at the district level before selecting pilot groups.
9. Consideration should be given to developing a second phase of the project which could pick up on activities arising out of the current project implementation, as well as the activities identified in the final review. This should be initiated by the Project Management Unit as soon as possible so as to avoid losing the momentum which is being generated by current project activities.

Annex 1: Terms of Reference



Terms of Reference for “Mid-Term Review for the EBA in the *Mt Elgon Ecosystem*”

Background

The Ecosystem Based Adaptation (EBA) Programme for Mountain Ecosystems in Uganda, Nepal and Peru aims to strengthen the capacities of these three countries, which are particularly vulnerable to climate change impacts, to build ecosystem resilience for promoting Ecosystem-based Adaptation (EBA) options and to reduce the vulnerability of communities, with particular emphasis on mountain ecosystems.

The programme is funded by the German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU) through its International Climate Initiative, and is implemented through a partnership of the United Nations Environment Programme (UNEP), the United Nations Development Programme (UNDP) and the International Union for the Conservation of Nature (IUCN).

Climate change impacts are already affecting the functioning and integrity of several ecosystems in Mount Elgon and are adding to the stress resulting from other anthropogenic interventions such as unsustainable land use practices. The project countries and targeted ecosystems have been identified as particularly vulnerable to climate change impacts. A multitude of communities depend upon the services provided by these ecosystems. EBA is defined as the use of biodiversity and ecosystem services as part of an overall adaptation strategy to help people to adapt to the adverse effects of climate change. EBA uses the range of opportunities for the sustainable management, conservation, and restoration of ecosystems to provide services that enable people to adapt to the impacts of climate change.

Specifically the project supports the following 4 components:

- The development of methodologies and tools for mountain ecosystems;
- The application of the above tools and methodologies at the national level;
- The implementation of EBA pilots at the ecosystem level; and
- The formulation of national policies and building an economic case for EBA at the national level.

The project creates new opportunities for experimental learning between regions and among countries within the same region. Through parallel and cooperative development and application of methodologies and tools and the implementation of pilot projects, the project is intended to shorten the learning curve of local and national institutions and fast-track the transfer of knowledge and experience in relation to building ecosystem resilience.

The five year (2011-2015) Ecosystem Based Adaptation to climate Change (EBA) Project is implemented by the Ministry of Water and Environment in partnership with UNDP, IUCN and UNEP. The different partners are responsible for certain components through the coordination of the Programme Management Unit (PMU) within the MWE, covering the implementation in the districts of Kapchorwa, Kween, Bulambuli and Sironko. The overall programme is governed by the National Programme Steering Committee composed of up to 14 members.

Duties and Responsibilities

Consultancy Rationale

UNDP at the country level plays the coordination role of the other partners in the implementation of the EBA project activities. The Monitoring and Evaluation (M&E) policy at the project level in UNDP has four key objectives namely:

- To monitor and evaluate results and impacts;
- To provide a basis for decision making on necessary amendments and improvements;
- To promote accountability for resource use; and
- To document, provide feedback on, and disseminate lessons learned.

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

Mid Term Reviews (MTR) are monitoring tools to assess project status and challenges, identify corrective actions to ensure that projects are on track to achieve planned outcomes as detailed in results framework annex II. The MTRs are beneficial for project implementation as they provide an independent in-depth review of implementation progress, and this is responsive to the need for transparency and better access of information during implementation.

This MTR is going to cover the project period up to date. The MTR will be conducted according to the guidance, rules and procedures established by United Nations Evaluation Group (UNEG) guidelines.

Scope of Work

Consultancy Objectives

This MTR is intended to identify potential project design problems, assess progress towards the achievement of objectives, identify and document lessons learned (including lessons that might improve design and implementation of other EBA projects), and to make recommendations regarding specific actions that might be taken to improve the project. It is expected to serve as a means of validating or filling the gaps in the initial assessment of relevance, effectiveness and efficiency obtained from monitoring. The MTR provides the opportunity to assess early signs of project success or failure and prompt necessary adjustments.

The specific objectives of the MTR are to:

- Identify unforeseen project design problems;
- Assess progress towards the achievement of objectives – especially towards Strengthening Uganda’s Capacity to promote ecosystem based adaptation to climate change and to reduce the vulnerability of communities on the Mt. Elgon ecosystem and improving livelihoods in line with the 4 components of the project;
- Identify the changes caused by the project to sustainable livelihoods;
- To verify the effective and efficient use of funds to deliver results
- Make recommendations regarding what should be done during the rest of the project life;
- Analyze the project performance up to now in the context of the institutional framework and events in Uganda.

Detailed Consultancy Activities, Scope of work and Deliverables

The Lead Consultant will have overall responsibility for the work and operations of the evaluation team, including the coordination of inputs from the national consultant. The lead consultant is responsible and overall accountable for the production of the agreed products. S/He will deliver on the following:

- Identify strengths and weaknesses in the Programme design and implementation, in particular implementation arrangements and its impacts on efficiency and effectiveness of converting resources (money, time) into results and impacts;
- Ascertain achievements and impacts to date; to what extent the Programme has moved towards achievement of the objectives and outputs under the four outcomes in the results framework and the need for continued focus (in particular achieving global environment benefits and improvement in livelihoods);
- Assess likelihood of sustainability of results and determine the key elements of the exit strategy that would increase the likelihood of sustaining critical results;
- Examine the significance of un-expected effects, whether beneficial or detrimental in character;
- Address underlying causes and issues contributing to targets not adequately achieved;
- Recommend for any necessary changes in the overall design and orientation of the project by evaluating the adequacy, efficiency, and effectiveness of its implementation, as well as assessing the project outputs and outcomes to date;
- Assess if there is evidence that sustainability of benefits is being built into the project (institutional and financial capacity)
- Provide detailed recommendations on the work plan for the remaining project period and to assess early signs of the project success or failure, and prompt any necessary adjustments;
- Assess to what extent the Programme has contributed to building capacity at national, district and community levels to formulate, implement and monitor actions/activities for ecosystem based adaptation;
- Verify the effective and efficient use of funds to deliver results to date.
- Assess the validity of assumptions used in the development of the EBA programme;
- Identify and assess lessons learnt and best practices in relation to achievement of the programme objectives and outputs;
- Assess how the EBA programme has adapted to any emerging/crosscutting issues and trends.

To this effect the MTR will pay attention to:

- Project formulation
 - Conceptualization/Design
 - Stakeholder participation
- Project Implementation
 - Implementation Approach
 - Monitoring & Evaluation
 - Stakeholder participation.
- Results
 - Attainment of outcomes/achievement of objectives (Relevance, effectiveness, Efficiency & sustainability o Financial delivery of resources versus the project results achieved
 - Organizational Structure, managerial support & coordination mechanism.

Consultancy Final Deliverables

- An Inception Report (within 3 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 Draft evaluation report of approximately 40 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;
- A PowerPoint presentation (15 – 25 slides) covering the key points of the MTR with the main findings and recommendations also provided;
- A Final MTR Report submitted within a week of receiving written comments on the drafts from Ministry of Water & Environment, UNDP, IUCN, UNEP and partners.

Consultancy Implementation Arrangements

- The contract will be performance-based, for 15 working days spread over a period of 2 months. Terms and conditions of service linked to the type of proposed contract will apply with overall reporting to the UNDP Country Director or her designate.
- The consultant will have all technical obligations and guidance on a day-to-day basis from the EBA Programme Management Unit (PMU) and will report to UNDP on all contractual obligations or as shall be advised by UNDP. Coordination of the consultancy activities with the EBA partner/implementing organizations, and stakeholders in the Mount Elgon districts and national level, will be conducted with the PMU, to ensure appropriate communications about the project and easy access to stakeholders.

It is expected that this contract will require the consultants to closely work with the regional colleagues more especially the EBA- UNDP Global technical Coordinator. The partners in co-ordination with the Uganda EBA National Programme Coordinator will provide technical guidance during the implementation of the consultancy activities. The consultancy technical report will be submitted to the Uganda EBA National Programme Coordinator. The contractor shall be invited to present the milestone results of the consultancy at selected workshops or meetings of the project. Costs for any such participation are not included in this tender or contract. The consultant shall be home based reporting on a weekly basis to the National

Coordinator. Field based interviews shall be carried out in the districts of Sironko, Bulambuli, Kween and Kapchorwa and to the key government or NGO partners linked with the EBA.

Competencies

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

Required Skills and Experience

Education

- A Master's Degree or professional qualification in Agriculture, Forestry, Environment or a related field, or natural/environmental sciences, social sciences with a specialization in climate change development, or other closely related field.

Experience

- Experience with working with various stakeholders in Uganda including civil society, government institutions, and international organizations; and experience carrying out similar assignments.
- At least 10 years of work experience at the national level, with excellent knowledge of the climate change, adaptation approaches and institutional environment
- Must have previous experience of at least 3 previous evaluations at the same level
- Demonstrated experience in policy formulation & implementation, and design and/or revision of public finance mechanisms
- Substantive knowledge of participatory M&E processes is essential, and experience with CBOs/community development processes; design, implementation and/or management of community and local level sustainable livelihoods initiatives and country experience in Uganda are advantages;
- A good wealth of experience in the evaluation of technical assistance projects, if possible with IUCN, UNEP, UNDP or other UN development agencies and major donors, is required.
- Demonstrated experience in working with senior government officials, and with bilateral or multilateral donor agencies
- Demonstrated ability to assess complex situations, succinctly distils critical issues, and draw forward-looking conclusions and recommendations;
- Experience in leading small multi-disciplinary, multi-national teams to deliver quality products in high stress, short deadline situations.

Evaluation Method and Criteria

Cumulative analysis

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

- responsive/compliant/acceptable, and
- having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation.

- Technical Criteria weight; - 70%
- Financial Criteria weight; - 30%

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

Technical Criteria – Maximum 70 points

Criteria	Points
Education (Advanced degree or higher in Public Finance)	10
Language skills	5
Knowledge of the Public Finance	10
Relevant experience in conducting similar assignments	15
Relevance of experience in report writing and drafting	10
Description of approach/methodology to assignment	20

Documents to be included when submitting the proposals

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

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

For clarification, please send an email to justine.naiga-bagonza@undp.org and copy diana.nabbanja@undp.org

Annex 2: Itinerary

Date	Activity	Place
4 th July 2014	Present inception report to National Project Steering Committee	Noah's Ark Hotel, Kapchorwa
11 th July 2014	Consultations with the Head of Program, IUCN Uganda	IUCN, Kampala
16 th July 2014	Consultations with the Head of Program, Energy and Environment and Program Analyst, UNDP Uganda	UNDP, Kampala
22 nd July 2014	Attend project workshop on the development of impact indicators	Mt. Elgon Hotel, Mbale
23 rd & 24 th July 2014	Consultations with the District Natural Resource Officers and selected local government officials of Kapchorwa, Kween, Bulambuli and Sironko	Mt. Elgon Hotel, Mbale
24 th July 2014	Consultations with EBA Global Knowledge Manager	Mt. Elgon Hotel, Mbale
13 th August 2014	Consultations with Project Management Unit	EBA Offices, Kampala
14 th August 2014	Consultations with the Director, Uganda National Meteorological Authority (UNMA)	UNMA offices, Kampala
14 th August 2014	Consultations with Ministry of Energy	Ministry offices, Amber House, Kampala
20 th August 2014	Consultations with project beneficiaries from Kapchesombe, Kapchorwa	Masha Hotel, Kapchorwa
20 th August 2014	Consultations with project beneficiaries, Budadiri and Bugitimwa sub-counties	Bugitimwa and Budadiri Trading Centres
22 nd August 2014	Consultations with IUCN Project Office	IUCN offices, Mbale
4 th September 2014	Present draft MTR report to EBA stakeholders	Mbale

5th September 2014

Present final MTR report to UNDP,
Uganda country office, Kampala

Kampala

Annex 3: List of people interviewed

Name	Institution	Contact
1. Mr. Awadh Chemangei	District Natural Resources Officer, Kapchorwa	0772645591
2. Mr. Bosco Kisaali	Mt. Elgon Beekeeping Community	0392943018
3. Mr. David Olal	District Water Officer, Kapchorwa district	0752520789
4. Mr. Henry Mukasa	UNDP-EBA Project Officer	0772539066
5. Mr. Martin Sokuton	Coordinator, KACODA	
6. Mr. Michael Ahimbisibwe	Senior Energy Officer/Member, NPSC	0752996710
7. Mr. Michael S. Z. Nkalubo	Ag. Executive Director, Uganda National Meteorological Authority/Member, NPSC	0772 453617
8. Mr. Omodo McMondo	Program Analyst, UNDP Uganda	0772439928
9. Mr. Onesmus Muhwezi	Program Head, Energy & Environment, UNDP Uganda/Member, NPSC	0716005139
10. Mr. Paul Nteza	UNDP EBA National Programme Coordinator	0772592352
11. Mr. Rashid N. Mafabi	DNRO, Sironko district	0772435518
12. Mr. Richard Gafabusa	IUCN-EBA Project Officer	
13. Mr. Samuel Chemusto	District Natural Resources Officer, Kween district	0772459166
14. Ms. Catherine Nabutsale	Sangasana Womens' Group, Budadiri	0774506221
15. Ms. Hams Namutebi	Coordinator, Sironko Valley Integrated Project	
16. Ms. Hellen Madanda	District Environment Officer, Bulambuli	0782443822
17. Ms. Irene Agudu	UNDP-EBA Program Associate	
18. Ms. Sophie Kutegeka	Ag. Head, IUCN Uganda/Member, NPSC	0772610061
19. Ms. Tine Rossing	EBA Global Knowledge Manager	

Annex 4: List of key documents studied

1. Bubb P, Doswald N, Epple C, Bodin B. (2012). Guidance on Rapid Assessment of Ecosystem Services Supply and Management: A preliminary guidance for the BMU project “Ecosystem Based Adaptation in Mountains.” Version 1.3. 3rd August 2012. UNEP-WCMC, Cambridge, UK.
2. Colls A, Ash N, Ikkala N. (2009). *Ecosystem-based Adaptation: a natural response to climate change*. Gland, Switzerland: IUCN. 16pp.
3. EBA – PMU (2011). Proceedings of the EBA Project Inception Workshop held at Kayegi Hotel, Mbale on 22nd November 2011.
4. GOU, UNDP, UNEP, IUCN (2012). Ecosystem Based Adaptation in the Mountain Elgon Ecosystem Project document. United Nations development Programme, Kampala, Uganda.
5. Government of Uganda (2009). National Development Plan (2010 - 2015). Ministry of Finance Planning and Economic Development, Kampala, Uganda.
6. IISD (2014). Earth Negotiations Bulletin: A Reporting Service for Environment and Development Negotiations. Volume 16 No. 122, 30 June 2014. International Institute for Sustainable Development (IISD). <http://www.iisd.ca/unep/unea/unea1/>
7. Ikkala N. (2012). Ecosystem-based Adaptation in Mountain Ecosystems: Challenges and Opportunities in Nepal, Peru and Uganda. Brief written by Ninni Ikkala, a climate change consultant, advising IUCN on adaptation policy and practice.
8. IUCN (2012). Restoration of the River Sipi Micro-Catchment as an Ecosystem-Based Solution to Build Social and Ecological Resilience of the Sanzara Community to Climate Change Impacts.
9. IUCN (2012). GIS mapping for Mt Elgon baselines to inform EBA interventions. Consultancy report submitted to IUCN Uganda Country Office, Kampala, Uganda.
10. UNDP (2012). Ecosystem Based Adaptation in Mountain Elgon Ecosystem: Provision of services in supporting information for the Ecosystem-based Adaptation in Mount Elgon Ecosystem Project Strategy. Consultancy report submitted to United Nations Development Programme, Uganda Country Office, Kampala.
11. UNDP (2012). Capacity assessment to undertake Vulnerability and Impact Assessment (VIA) for the Ecosystem Based Adaptation (EBA) in Mt Elgon Ecosystem-Uganda. Consultancy report submitted to United Nations Development Programme, Uganda Country Office, Kampala.
12. UNEP, UNDP, IUCN. Brochure entitled “Ecosystem Based Adaptation: Adapting to climate change in mountain ecosystems”.
13. UNEP, UNDP (2011). Agreement between the United Nations Environment Programme (UNEP) and the United Nations Development Programme. Document Ref. FA/2011/DEPI/CCAU/001.
14. UNEP-WCMC (2012). Workshop Report: Mountain Ecosystem-based Adaptation Mapping Workshop held from 24th to 28th September 2012 in Cambridge, UK